



Meeting attachments

Audit and Risk Management Committee

Wednesday, 16 February 2022, 5.30 pm

Table of Contents

Contents	Page
Meeting attachments	1
ARMC2202-2 ADOPTION OF THE 2021 COMPLIANCE AUDIT RETURN	1
ARMC2202-3 REVIEW OF CERTAIN SYSTEMS AND PROCEDURES BY THE CHIEF EXECUTIVE OFFICER REQUIRED BY REGULATION 17 – LEGISLATIVE COMPLIANCE	15
ARMC2202-4 WALYALUP CIVIC CENTRE – PROJECT UPDATE	59
ARMC2202-6 PURCHASING POLICY EXEMPTIONS DECEMBER 2021	66
ARMC2202-8 INFORMATION REPORT – FEBRUARY 2022	68

ARMC2202-2 ADOPTION OF THE 2021 COMPLIANCE AUDIT RETURN

ATTACHMENT 1 - 2021 Compliance Audit Return

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Fremantle - Compliance Audit Return 2021

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2021?	Not applicable		Acting Director City Business Economic Development Officer
2	s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2021?	Not applicable		Acting Director City Business Economic Development Officer
3	s3.59(2)(c) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2021?	Not applicable		Acting Director City Business Economic Development Officer
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2021?	Not applicable		Acting Director City Business Economic Development Officer
5	s3.59(5)	During 2021, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	Not applicable		Acting Director City Business Economic Development Officer

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16	Were all delegations to committees resolved by absolute majority?	Yes	Respondent: All delegations adopted by absolute majority at Ordinary Council Meeting of 26 May 2021 – FPOL2105-11 Reviewer: Minutes sighted.	Manager Governance
2	s5.16	Were all delegations to committees in writing?	Yes	Respondent: Delegations in writing included in Register of Delegated Authority adopted 26.05.21. Register - Register of Delegated Authority 2021-2022 - 25 November 2021.pdf (fremantle.wa.gov.au) Reviewer: Minutes and attachments sighted and documents observed on City's website.	Manager Governance
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	Yes	Respondent: See Register of Delegated Authority Reviewer: Refer Q2 above.	Manager Governance
4	s5.18	Were all delegations to committees recorded in a register of delegations?	Yes	Respondent: See Register of Delegated Authority Reviewer: Refer Q2 above.	Manager Governance
5	s5.18	Has council reviewed delegations to its committees in the 2020/2021 financial year?	Yes	Respondent: All delegations reviewed on 26 May 2021 – FPOL2105-11 Reviewer: Minutes evidencing review sighted.	Manager Governance
6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act?	Yes	Respondent: See Register of Delegated Authority	Manager Governance
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	Respondent: All delegations adopted by absolute majority at Ordinary Council Meeting of 26 May 2021 – FPOL2105-11 Reviewer: Minutes evidencing resolution sighted.	Manager Governance
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes	Respondent: See Register of Delegated Authority Reviewer:	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

				Register with appropriate delegations sighted.	
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	Respondent: See Register of Delegated Authority Reviewer: Register with appropriate delegation sighted (Ref 518161)	Manager Governance
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes	Respondent: See Ordinary Council Meeting of 26 May 2021 – FPOL2105-1 and 23 June 2021 ARMC2106-3 Reviewer: Minutes evidencing compliance sighted.	Manager Governance
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes	Respondent: See Register of Delegated Authority Reviewer: Refer Q1 above.	Manager Governance
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2020/2021 financial year?	Yes	Respondent: Delegations by Council reviewed 26 May 2021 – FPOL2105-11 Delegations by CEO reviewed 14 June 2021 Reviewer: Refer Q9 above.	Manager Governance
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19 ?	Yes	Respondent: See register of use of CEO delegation, Manager Governance delegation Reviewer: Sighted: <ul style="list-style-type: none"> Register of use of CEO delegation, Manager Governance delegation (Ref 843997) Sample of various 'written' uses of delegation (E.g.: professional development re-imbursements, Committee minutes, Building permits, fee waivers etc.) 	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes	Reviewer: Disclosure of interest register sighted (815566). Sample of minutes sighted (May & August 2021) noted with disclosures and appropriate actions.	Manager Governance
2	s5.68(2) & s5.69(5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting?	Not applicable		Manager Governance
3	s5.73	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made?	Yes	Reviewer: Sample of minutes sighted (May & August 2021) noted with disclosures.	Manager Governance
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes	Reviewer: Sighted timely primary returns for new elected members & key appointments.	Manager Governance
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2021?	No	Respondent: 1 return was received 7/09/2021. DLGSC and CCC were notified 7/09/2021 Reviewer: Correspondence sighted for exception.	Manager Governance
6	s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	Yes	Reviewer: Sighted on a sample basis.	Manager Governance
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76?	Yes	Reviewer: Refer Q1 above.	Manager Governance
8	s5.88(1) & (2)(b) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28?	Yes	Reviewer: Refer Q1 above.	Manager Governance
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person?	Yes	Reviewer: Sighted appropriate adjustments in the Register.	Manager Governance
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes	Reviewer: Yes, sighted transfer of obsolete documents from Register to 'vault folders' for archiving.	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A?	Yes	Reviewer: Sighted Register (Ref 4386471).	Manager Governance
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes	Reviewer: Sighted on City's website.	Manager Governance
13	s5.89A(6)	When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person?	Yes	Reviewer: Sighted updates to the Register.	Manager Governance
14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A(6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	Yes	Reviewer: Refer Q10 above.	Manager Governance
15	Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?*	Yes	Reviewer: Sighted Register.	Manager Governance
		*Question not applicable after 2 Feb 2021			
16	Rules of Conduct Reg 11(6)	Where a council member disclosed an interest under Rules of Conduct Reg 11(2) was the nature of the interest recorded in the minutes?*	Yes	Reviewer: Sighted minuted reference in the Register.	Manager Governance
		*Question not applicable after 2 Feb 2021			
17	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Not applicable		Manager Governance
18	s5.71A & s5.71B(5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	Not applicable		Manager Governance
19	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered?	Not applicable		Manager Governance
20	s5.103 Admin Regs 34B & 34C	Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees? **Question not applicable after 2 Feb 2021	Yes	Reviewer: Sighted 'vaulted' Code of Conduct.	Manager Governance
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?	Yes	Reviewer: Maintained for period required.	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

**Question not applicable after 2 Feb 2021					
22	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	Yes	Respondent: Adopted by absolute majority at Ordinary Council Meeting of 28 April 2021 – FPOL2104-8 Reviewer: Sighted appropriate minutes.	Manager Governance
23	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)?	Yes	Respondent: See FPOL2104-8 Reviewer: Sighted appropriate minutes.	Manager Governance
24	s5.104(7)	Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website?	Yes	Reviewer: Sighted on the City's website.	Manager Governance
25	s5.51A(1) & (3)	Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government?	No	Respondent: New employee code of conduct in the process of being finalised since the introduction of the Local Government Regulations Amendment (Employee Code of Conduct Regulations) 2021.	Manager Governance

Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)?	Yes	Reviewer: Public notices sighted as compliant.	Economic Development Officer
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property?	Yes	Reviewer: Public notices sighted as compliant.	Economic Development Officer

Elections

No	Reference	Question	Response	Comments	Respondent
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate?	Yes	Reviewer: Sighted Register, maintaining notices as disclosed.	Manager Governance
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office,	Yes	Reviewer: Sighted Register with notices as disclosed.	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

		from the electoral gift register, and retain those forms separately for a period of at least two years?			
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G(6)?	Yes	Respondent: 2021 Electoral Gift Register - 16 October 2021 - ALL CANDIDATES - Governance (ID 5203220).pdf (fremantle.wa.gov.au) Reviewer: Sighted Register on the City's website.	Manager Governance

Finance					
No	Reference	Question	Response	Comments	Respondent
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes	Reviewer: Sighted minutes.	Manager People and Culture
2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	Not applicable	Respondent: Audit committee has no delegated authority.	Manager Governance
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2021 received by the local government by 31 December 2021?	No	Respondent: The Office of the Auditor General (OAG) is yet to conclude the audit (as at 25 January 2021). Reviewer: Advice from OAG sighted.	Acting Manager Finance
4	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9(1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	Yes	Respondent: Actions recorded and report progress. Some items are ongoing.	Acting Manager Finance
5	s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Not applicable	Respondent: Refer Q3 above.	Acting Manager Finance
6	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	Not applicable	Respondent: Refer Q3 above.	Acting Manager Finance
7	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes	Respondent: For the reporting period 2019-20.	Acting Manager Finance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Integrated Planning and Reporting					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Respondent: On 26 June 2019 (FPOL Planning 1906-12). Noting in March 2021 Council endorsed the approach in progress to update the Strategic Community Plan. Reviewer: Minutes sighted and also noted on the City's website.	Manager Strategic Planning
2	Admin Reg 19DA(1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Respondent: The Corporate Business Plan 2019 - 2023 was adopted on 26 June 2019. Reviewer: Minutes sighted.	Manager Strategic Planning
3	Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes	Reviewer: The Corporate Business Plan 2019 - 2023 contains the information referenced in Admin Reg 19 D A (2) & (3).	Manager Strategic Planning

Local Government Employees					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve a process to be used for the selection and appointment of the CEO before the position of CEO was advertised?	Not applicable	CEO recruitment process commenced January 2022.	Manager People and Culture
2	s5.36(4) & s5.37(3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	Not applicable		Manager People and Culture
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	Not applicable		Manager People and Culture
4	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)?	Not applicable		Manager People and Culture
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Not applicable		Manager People and Culture
6	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	Not applicable		Manager People and Culture

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer? <i>Note: The Act was amended in 2019 to state: "5.120. Complaints officer (1) The CEO may designate an employee of the local government to be its complaints officer. (2) If an employee is not designated under subsection (1), the CEO is the local government's complaints officer."</i>	N/A	Respondent: The CEO designated the Manager Governance to be the City's complaints officer under s.5.120. The current legislation does not require the complaints officer to be a senior employee.	Manager Governance
2	s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121(2)?	Yes	Respondent: See website Reviewer: Register sighted on the City's website.	Manager Governance
3	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes	Respondent: Register - Complaints Register - Local Government Act 1995 s5.121 - 23 August 2021.pdf (fremantle.wa.gov.au) Reviewer: Compliant Register sighted on the City's website.	Manager Governance

Optional Questions					
No	Reference	Question	Response	Comments	Respondent
1	Financial Management Reg 5(2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December 2021? If yes, please provide the date of council's resolution to accept the report.	Yes	Respondent: Presented to Council's Audit Committee on 11 August 2020 item ARMC2008-1. Reviewer: Minutes sighted.	Acting Manager Finance
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December 2021? If yes, please provide date of council's resolution to accept the report.	Yes	Respondent: <ul style="list-style-type: none"> Internal Control accepted 26 February 2020 – ARMC2002-1. Risk Management accepted 25 November 2020 – ARMC2011-4. Legislative compliance upcoming (Feb. 2022) 	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



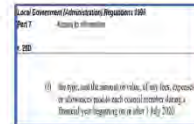
Department of
Local Government, Sport
and Cultural Industries

				<ul style="list-style-type: none"> Previous review of all areas accepted 22 May 2019 – ARMC1905-4. <p>Reviewer: All Minutes sighted</p>	
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C?	No	<p>Respondent: One exception occurred. The initial gift disclosure was made to the Chief Executive Officer on 23 December 2021 (within 3 days). However, this disclosure was missing some information required by section 5.87C(3). This information was received on 17/01/2022, making the disclosure complete after 28 days.</p> <p>Reviewer: Correspondence evidencing this was sighted.</p>	Manager Governance
4	s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?	Yes	<p>Reviewer: Sighted minutes of adoption (September 2020)</p>	Manager Governance
5	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes	<p>Respondent: The Elected Member Allowances & Reimbursements Policy details elected members' allowances and reimbursements entitlements</p> <p>Reviewer: In relation to LG (Admin) Regulations 29 C (2) (f), the City advises that it only discloses the approved position for elected members' allowances and reimbursements in the Elected Member Allowances & Reimbursements Policy. The actual amounts received are not provided in a separate register. This appears to be contrary to the intent of LG (Admin) Regulations 29 C (2) (f):</p>	Manager Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries



6	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes	Reviewer: Sighted minutes of adoption (September 2020).	Manager Governance
7	s5.127	Did the local government prepare a report on the training completed by council members in the 2020/2021 financial year and publish it on the local government's official website by 31 July 2021?	Yes	Reviewer: Sighted complaint report on the City's website.	Manager Governance
8	s6.4(3)	By 30 September 2021, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2021?	YES	Respondent: Draft financial statements provided to OAG on 29.09.2021.	Acting Manager Finance
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	YES	Respondent: Budget adopted by Council June 2021 – provide to the Department on 10.09.2021. Reviewer: Sighted approval and required supporting documents.	Acting Manager Finance

Tenders for Providing Goods and Services

No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	No	Respondent: We are aware of instances when some expenditure is over thresholds and others where we were not able to get the minimum number of quotes due to market conditions. Reviewer: Confirmed in discussion that monthly reports of suppliers' expenditure, used as a 'detective control' highlight possible instances of acting outside of the Policy. The City's procurement function is operated as a blend of centralised and decentralised procedures. The Procurement Team run these monthly reports and then,	Manager Asset Management

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

					as necessary, send to the relevant line managers for action.
2	s3.57 F&G Reg 11	Subject to F&G Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)?	Yes	Reviewer: Sample tenders sighted.	Manager Asset Management
3	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with F&G Reg 14(3) and (4)?	Yes	Reviewer: Sample tenders sighted.	Manager Asset Management
4	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	Yes	Reviewer: Sighted Purchasing Policy which references the City's commitment to satisfy this 'anti-avoidance' obligation.	Manager Asset Management
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	Yes	Respondent: Via Tenderlink Reviewer: Tenderlink has this capability. The City's Purchasing Policy sets the requirement for compliance.	Manager Asset Management
6	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Yes	Reviewer: Sighted the Tender Register on the City's website, which evidences compliance.	Manager Asset Management
7	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Yes	Reviewer: Compliant Register sighted on the City's website.	Manager Asset Management
8	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	Yes	Reviewer: Sighted sample tender documentation where this is stated. The City confirmed it adheres to this requirement.	Manager Asset Management
9	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes	Reviewer: Sample tender sighted evidenced compliance. The City confirmed it adheres to this requirement	Manager Asset Management
10	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes	Reviewer: Sample tenders sighted evidenced compliance and noted as recorded in Tender Register. The City confirmed it adheres to this requirement	Manager Asset Management

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
**Local Government, Sport
and Cultural Industries**

11	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	Yes	Reviewer: Sample expression of interest sighted evidenced compliance. The City confirmed it adheres to this requirement.	Manager Asset Management
12	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	Yes	Reviewer: Sighted sample EOI documentation where this is stated. The City confirmed it adheres to this requirement.	Manager Asset Management
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under F&G Reg 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	Yes	Reviewer: Sample EOI sighted evidenced compliance. The City confirmed it adheres to this requirement.	Manager Asset Management
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with F&G Reg 24?	Yes	Reviewer: Sample EOI sighted evidenced compliance. The City confirmed it adheres to this requirement.	Manager Asset Management
15	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with F&G Reg 24AD(4) and 24AE?	Not applicable	Respondent: No panels are in place	Manager Asset Management
16	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	Not applicable		Manager Asset Management
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	Not applicable		Manager Asset Management
18	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of F&G Reg 24AG?	Not applicable		Manager Asset Management
19	F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	Not applicable		Manager Asset Management
20	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	Not applicable		Manager Asset Management
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Not applicable		Manager Asset Management

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
**Local Government, Sport
and Cultural Industries**

22	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	Not applicable	Manager Asset Management
----	--------------------	---	----------------	--------------------------

**ARMC2202-3 REVIEW OF CERTAIN SYSTEMS AND PROCEDURES BY THE
CHIEF EXECUTIVE OFFICER REQUIRED BY REGULATION 17 –
LEGISLATIVE COMPLIANCE**

**ATTACHMENT 1 - Civic Legal Systems and Procedures Review, Legislative
Compliance – Final Report**



**Systems and Procedures Review
- Legislative Compliance**

City of Fremantle

October 2021

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



Contents

1. Introduction	1
2. Engagement Overview	1
2.1 Legislative Requirements	1
2.2 Timeframe	1
2.3 Scope of Engagement – Legislative Compliance	2
3. Review Methodology	2
4. Executive Summary	2
4.1 Legislative Compliance Summary	2
4.2 Review Summary	2
5. Table of Results	4
Appendix 1: Resources (employees interviewed)	19
Appendix 2: Resources (documents sighted)	19
Disclaimer	21

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



1. Introduction

Regulation 17 of the *Local Government (Audit) Regulations 1996* (WA), creates a statutory obligation for local government CEOs to review the effectiveness and appropriateness of the Local Government's systems and procedures at least once every three financial years.

The City of Fremantle (**the City**) has engaged Civic Legal to undertake a review of the City's systems and procedures in relation to risk management, internal control and legislative compliance. The reviews will be undertaken with the intended outcome of assisting the Chief Executive Officer (**CEO**) to meet their statutory obligations described in regulation 17.

The purpose of this report is to assist the CEO in their assessment of the appropriateness and effectiveness of certain systems and procedures in accordance with regulation 17 of the *Local Government (Audit) Regulations 1996* (WA).

This report addresses Legislative Compliance and is the final of three reports, to be delivered according to the timeframe stated in section 2.2 below.

2. Engagement Overview

2.1 Legislative Requirements of Regulation 17

Regulation 17 of the *Local Government (Audit) Regulations 1996* (WA) states the following:

- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to:*
 - (a) *risk management; and*
 - (b) *internal control; and*
 - (c) *legislative compliance.*
- (2) *The review may relate to any or all of the matters referred to in sub regulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*
- (3) *The CEO is to report to the audit committee the results of that review.*

2.2 Timeframe

Civic Legal understands from the City that its last complete Regulation 17 review was completed in February 2019. That review addressed all three categories (risk management, internal controls and legislative compliance).

The next Regulation 17 compliance deadline for all three categories is therefore due by 30 June 2022.

The City has engaged Civic Legal to complete three individual reviews over a three-year period. A separate report will be prepared for each of the three reviews:

- > internal control (completed in 2019);
- > risk management (completed in 2020);
- > legislative compliance (being completed in 2021 by this report).

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



2.3 Scope of Engagement – Legislative Compliance

The City has engaged Civic Legal to provide the following services in relation to the requirements of Regulation 17 of the *Local Government (Audit) Regulations 1996* (WA):

- > complete a review of a selection of the City's systems and procedures relating to legislative compliance;
- > seek to identify potential issues relating to the systems and procedures being reviewed;
- > provide suggestions for improvement; and
- > prepare a report summarising the matters identified during the review.

3. Review Methodology

Civic Legal has considered the Local Government Operational Guideline Number 9 in determining which systems and procedures to review.

The methodology included:

- > interviewing relevant employees of the City;
- > referencing core documents underlying the systems and procedures being reviewed; and
- > conducting sampling as required.

The onsite interviews were conducted at the City on 24 and 25 August 2021.

4. Executive Summary

4.1 Legislative Compliance Summary

Systems and procedures promoting legislative compliance support the principles of good governance and sound decision making. These systems and procedures are driven by a culture of compliance, due diligence and high ethical standards. Legislative compliance includes compliance with the following:

- > legislation;
- > regulations;
- > Australian and industry standards; and
- > internal policies.

4.2 Review Summary

The nature of local government requires a multitude of legislation, standards and policies to be understood and complied with every day. Due to the vast array of legislation applicable to the local government sector, it is a challenge for local governments to remain compliant with all legislative requirements. Furthermore, the recent amendments to the *Local Government Act 1995* (WA) has seen significant changes to key legislation governing Western Australian local governments.

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



On the basis of the review completed by Civic Legal, consideration of legislative compliance appears to be an intrinsic component of various systems and procedures at the City. The Governance Team undertakes a key role in the monitoring of and ensuring compliance with legislation. It also provides support to councillors, committee members and employees where legislative requirements may be unclear.

The need to consider legislative requirements in various integral procedures including tendering, records management and public consultation is written into procedural documents and guidelines. In some cases, reference to legislative requirements is general and does not provide details on specific regulations and how they apply. In many circumstances, the understanding of specific legislative requirements and where they are applicable is reliant on the experience and expert knowledge of the Governance Team and senior employees.

We understand that governance training will be included in the induction process of the City as of September 2021. This may further increase employees' appreciation of the importance of legislative compliance and due diligence checks. Certain teams may also benefit from training on legislation in specific areas.

Recently, the COVID-19 State of Emergency has introduced further legislative requirements for the City to meet and monitor. The City has ensured the continuity of essential services while enabling all non-essential employees to work from home. All sites have responded by creating *COVID-19 Safety Plans* and implementing requirements identified in Public Health Emergency Directives.

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



5. Table of Results

The table below sets out:

- > the systems and procedures reviewed;
- > a description of those systems and procedures based on the information provided by the City's employees; and
- > Civic Legal's suggested actions for the City to consider.

System or procedure	Description	Suggested actions
Elected member professional development	<p>Professional development requirements are captured in the <i>Elected Member Professional Development Policy</i> (September 2020). This policy is available on the City's website, as required by legislation. Policies relating to elected members are reviewed after each election (every two years).</p> <p>All councillors must complete the mandatory elected member training. Individual councillors can select additional training opportunities to participate in (up to their budgetary allocation). Some training options are identified in the monthly newsletter that is sent to councillors.</p>	<p>Include a review deadline in the <i>Elected Member Professional Development Policy</i> (September 2020).</p> <p>Amend the policy to highlight a preference that elected members prioritise training in areas where they have official capacities (e.g. Audit and Risk Management Committee responsibilities).</p>
Ensuring the Audit and Risk Management Committee (ARMC) members understand their role	<p>All members of the ARMC are given a copy of the committee's <i>Terms of Reference</i>. The ARMC <i>Terms of Reference</i> can be found in the <i>Council, Committees and Groups Register 2019 - 2021</i>. The <i>Terms of Reference</i> identifies the functions of the ARMC. In particular, the language used in the <i>Terms of Reference</i> is similar to that of regulation 16 (functions of audit committee) of the <i>Local Government Act (Audit) Regulation 1996</i> (WA). This document is reviewed after each election (every two years).</p> <p>The ARMC consists of councillors and a professional independent member. The independent member is invited to attend relevant induction training. No further auditing or risk management training is required for those councillors who make up the ARMC.</p> <p>The Governance Team provide further governance support when requested or where the Manager Governance believes it will be useful/helpful. The Manager Governance will meet with members of the committee if they require more information or clarification. The committee are encouraged to ask questions. All formal questions are captured in a written document.</p>	<p>Consider amending the <i>Terms of Reference</i> to include specific training requirements for ARMC members. Although such amendment is not required by legislation, it has the potential to improve the quality of input from ARMC members. For instance, an amendment could be made that requires the councillors who comprise the ARMC to undergo suitable auditing and risk management training within three months of their appointment.</p> <p>Ensure all members of the ARMC sign to confirm they have read and understood the ARMC <i>Terms of Reference</i>.</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
ARMC compliance with regulation 16(d) of the <i>Local Government (Audit) Regulations 1996</i> (WA)	<p>The Regulation 17 Report is presented to the ARMC. We understand that in the past two years, members of the ARMC have asked questions regarding the report where clarification or further explanation is sought.</p> <p>Actions from the review are added to the Audit Actions Register. Officers will report on the progress of the audit actions to the ARMC in accordance with the procedure to address actions from Audits (presented to the ARMC on 10 November 2020 then Council on 25 November 2020).</p>	The procedure to address actions from Audits (refer to ARMC2011-2) is currently captured in council meeting minutes (25 November 2020). If not already done so, this procedure should be captured in an internal policy/procedural document.
Freedom of information (FOI) training	<p>All staff responding to FOI access applications have completed the FOI Coordinator training at the Office of the Information Commissioner. Two of these officers have also completed Decision Maker qualifications. Officers will undertake refresher training if relevant legislation changes.</p> <p>The officers are also members of the WA FOI Group.</p> <p>Officers refer to the Fees and Charges where an applicant is required to pay a fee.</p>	
Responding to FOI access applications	<p>The City has developed a <i>Freedom of Information Statement 2021/22 (June 2021)</i> which was published by the City in accordance with the <i>Freedom of Information Act 1992</i> (WA).</p> <p>The City has a <i>FOI Internal Process Flow Chart</i> to support staff who are responding to the access applications. The procedure is reviewed annually and is based on flowcharts published by the Office of the Information Commissioner.</p> <p>Once an officer assesses an FOI access application, the Decision Maker checks the response and relevant documents before the official response is issued. All responses are therefore seen by a minimum of two officers.</p> <p>All appeals are reviewed by the Review Officer (Director). If a second appeal is made, it is directed to the Office of the Information Commissioner for processing.</p>	Include a date on the <i>FOI Internal Process Flow Chart</i> to identify when it was last reviewed/updated.
Compliance with the <i>State Records Act 2000</i> (WA)	<p>The City recently implemented a new document management system (M-Files). The tendering process for selecting the new system included the use of an expert panel. We understand from interviews with relevant officers that the panel ensured that the system was capable of meeting all legislative requirements prior to purchase.</p> <p>All employees receive digital training in record keeping roles and responsibilities. This is completed during the induction process. Guidelines are also available in the document management system.</p>	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	<p>Monitoring is conducted each month to identify Business Units with low registration figures (which suggests incorrect or inadequate use of the document management system). Complete reports are provided to the Management Team on a quarterly basis.</p> <p>The City has a team of officers described as Document Management System Champions. This team has been established to develop and encourage culture change regarding digitisation strategy. All business units have a representative in this working group.</p>	
Record Keeping Plan review	<p>The City is currently reviewing (re-writing) their <i>Record Keeping Plan</i> (due to be submitted in November 2021). The plan will undergo internal checks by the relevant manager, director and the CEO prior to being sent to the State Records Office. The State Records Office will assess the plan to ensure the <i>State Records Act 2000</i> (WA) has been appropriately interpreted and considered within the <i>Record Keeping Plan</i>.</p> <p>The review process was triggered by a letter sent from the Officer of the Information Commissioner.</p>	<p>Ensure internal reminder(s) are established to trigger the next Record Keeping Plan review. This reminder(s) should not be limited to an individual officer's calendar. For example, reminders could be added to the Governance Team's Compliance Calendar.</p>
Community engagement/consultation	<p>The City's <i>Community Engagement Policy</i> (March 2019) identifies that "<i>consideration is given to things like ... legislative requirements</i>" and lists some relevant legislation. "Statutory engagement" is briefly addressed under clause 3.4 of this policy. According to this policy, engagement plans should be developed in collaboration with the Community Engagement Team and approved by the Director.</p> <p>It is up to individual teams to identify when they are required to advertise or engage/consult with the public. It is also up to individual teams to arrange for relevant training if seen as required. The Governance Team is available to provide advice on these matters and discuss minimum requirements according to the relevant legislation.</p> <p>The Governance Team has its own <i>Giving Local Public Notice Procedure</i> (March 2021). This procedure includes references to legislative requirements. We understand that the Town Planning Team has a similar procedural document which addresses requirements of town planning matters.</p> <p>The <i>Authority to Tender E-Form</i> addressed s1.7 advertising requirements.</p>	<p>Include a requirement for all engagement plans to contain a 'relevant legislation' section, or something to that effect. I.e. this could be included in any relevant template, guideline document and/or the <i>Community Engagement Policy</i> (March 2019). 'Nil' or 'not applicable' can be written under this section for plans where there is no legislative requirement to seek community consultation.</p>
Ensuring required information is published on the	<p>The Governance Team manage website requirements. This includes uploading committee meeting agendas and minutes in accordance with legislative requirements.</p>	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
City's official website	The list of required documents published by the Department of Local Government, Sport and Cultural Industries (the Department) was used to ensure all required documents are available on the City's website, in accordance with the recent amendments to the <i>Local Government Act 1995</i> (WA).	
Monitoring legislative changes	<p>The Governance Team (along with some other officers) are subscribed to State Law Publisher notifications as well as WALGA notifications.</p> <p>Where amendments are relevant to specific departments, the notifications will be sent to the head of the relevant department. Individual teams are then responsible for reacting to the change in legislation. For example, changes to legislation will generally trigger necessary amendments to relevant policies and/or procedures.</p> <p>Training options regarding legislative amendments are also sent to the relevant teams.</p>	Ensure procedures for monitoring legislative changes are addressed in the organisational induction training module.
Monitoring legislative compliance	<p>Legislative compliance is assessed in annual auditing practices, managed by the Office of the Auditor General (OAG). All required actions are recorded in the Audits Actions Register and actioned appropriately.</p> <p>A monthly update from the Governance Team is presented at Management Team meetings. Topical issues or events are raised during the governance update including new policies, financial reporting reminders or reminders from the Governance Team's Compliance Calendar. The Governance Team will follow up with managers (or their directors) via email until required tasks are complete.</p> <p>Overall, individual managers are responsible for monitoring legislative compliance within their team and addressing any issues identified. Where required, further training will be administered. The Governance Team are available to assist and advise in relation to legislative compliance, when requested.</p> <p>We understand that it is the relevant Manager that is responsible for monitoring their team's activities for any non-compliances and to correct those situations (with assistance from the Governance Team as requested).</p>	Ensure procedures for monitoring legislative compliance are addressed in the organisational induction training module.
Providing support to officers on how to comply with relevant legislative requirements	<p>During the recruitment process, applicants' backgrounds and qualifications are assessed to ensure they will be capable of doing the required tasks. Some legal requirements of employees will be addressed in the new governance induction training (introduced in September 2021).</p> <p>Once a month, the Manager Governance is available in the lunch room for any officers to ask questions or discuss any concerns/queries they may have.</p>	Ensure the City has adopted, and regularly reviews, procedural documents/guidelines to support staff when completing common tasks that are regulated by legislation and/or regulations. For example, disposal of land

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	The M-File approval system is often utilised to monitor progress/status of a particular action or document. This system includes automated reminders for upcoming deadlines. The CI Anywhere software also allows managers and directors to oversee their team's tasks.	<p>transactions, managing rental agreements, recruitment, purchasing and legislatively mandated document reviews. Priority should be given to high risk and regular tasks.</p> <p>We note that the scope of this review did not allow for the multitude of those kinds of documents to be reviewed and commented upon.</p> <p>Ensure all employees (current and incoming) complete the governance induction training.</p>
Review of delegations and authorisations	Delegations, authorisations and expenditures are reviewed annually.	
Ensuring officers act in accordance with their delegations and authorisations.	<p>All officers that have a delegation receive a <i>Notice of Delegation Letter</i>, identifying the relevant delegation number. This letter states that it is the responsibility of the designated employee to understand their delegated powers including limitations, as seen in the <i>Register of Delegated Authority</i>. It also clarifies that it is the responsibility of the designated employee to correctly record their use of delegated authority.</p> <p>Employees with delegation are required to complete primary returns and annual returns.</p> <p>All officers that have an authorisation receive a <i>Certificate of Authority</i> for each financial year (which the officer must sign). The certificate identifies the relevant legislation or regulation and states that functions must be performed in accordance with applicable legislation. The officer will also be provided an identity card, as required by legislation.</p> <p>A member of the Governance Team meets with new officers to discuss their delegations and/or authorisations. The relevant manager and the Governance Team are available to provide clarification at any point if required.</p> <p>Governance induction training will be introduced in September 2021. Delegation induction training will also be included in the induction training program in early 2022.</p>	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	If an officer is temporarily acting in the role of a designated officer, it is the responsibility of the designated officer to identify if they would not like the acting officer to use certain delegated powers.	
Completing the compliance audit return (CAR)	<p>The City's procedure for completing the CAR is captured in the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021). Where the budget allows, the CAR is completed by an external consultant. The procedural document provides guidelines for appointing a consultant, in line with the City's <i>Purchasing Policy</i>. Once the City has received quotes, a recommendation is submitted to the Manager Governance.</p> <p>The City does not set out minimum sampling requirements for the completion of the CAR. The consultant determines appropriate use of sampling to satisfy themselves that compliance has been met.</p> <p>The same consultant has been selected for multiple years due to their familiarity with the records system (less time required).</p> <p>Most points of non-compliance identified in the 2020 CAR were due to the late receipt of audit reports from the OAG. These points of non-compliance are likely to be reported in the 2021 CAR. Where non-compliance has been reported, the City had previously notified the Department and the Corruption and Crime Commission (CCC).</p> <p>The completed CAR is presented to the ARMC and then the council. Once approved by the council, it is sent to the department.</p>	<p>Amend the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021) to identify minimum sampling requirements expected of the consultant. This could be included in the initial request and/or could be a major consideration when selecting the successful applicant.</p> <p>Include a review deadline in the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021).</p> <p>Consider using alternative consultants to complete the CAR every few years.</p>
Complaints management	<p>The complaints procedure is available online. It can be completed in person, by post, over the phone, via email or through the City's website. All complaints are received by the Customer Service Team. The Customer Request Management System (CRM) allows information regarding each complaint to be recorded and allocates complaints to the relevant business unit. The complaint will be managed through to resolution by the manager of that business unit. The applicant must receive a response within 10 days and be kept informed throughout the process.</p> <p>Complaints (especially employee complaints) are often dealt with by the People and Culture Team. Some officers in the People and Culture Team are trained in government investigations.</p> <p>The City has a <i>Complaint Management System Policy</i> (February 2013) available on the website. The City's website provides the public with guidance for how to make a complaint about employees of the City and the City's councillors, committee members and/or candidates.</p>	<p>Review the <i>Complaint Management System Policy</i> (February 2013) (was due to be reviewed in 2017).</p> <p>Develop a comprehensive internal complaints procedure that can be followed by all departments and outlines minimum requirements and/or expectations.</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	We understand the Public Interest Disclosure (PID) officers have procedural documents to follow.	
Dealing with elected member code of conduct breaches	Councillor complaints are managed by the Manager Governance (also a PID officer). Division 3 breaches of the City's Code of Conduct are assessed by an external person, in accordance with the <i>Council Code of Conduct Division 3 Complaint Handling Policy</i> (June 2021). Their recommendation is presented to council.	Include a review deadline in the <i>Council Code of Conduct Division 3 Complaint Handling Policy</i> (June 2021).
Compliance with purchasing and tendering requirements	<p>The City's <i>Purchasing Policy</i> was last updated in November 2020. An <i>Employee Action Form</i> must be completed for all incoming staff. Training needs are identified within this form, including procurement training. Tender evaluation training can also be completed when required/requested.</p> <p>An <i>Authority to Tender E-Form (E-Form)</i> must be completed for every purchase over \$150,000. The E-Forms are completed by the relevant Project Manager. It will then be reviewed by the Team Manager and Director before being sent to the Procurement Team to carry out. The Procurement Team will raise any concerns or questions if required. Any errors or gaps in the forms are corrected due to the various checks in the approvals process.</p> <p>The E-Form requires estimated cost details to be input. The form will be rejected if the officer is entering an estimated cost that is outside of their expenditure authority. A tender number must be input for any request over \$250,000.</p> <p>Purchase orders include a nominated value bracket. Depending on the value bracket, either the manager or director (with a higher expenditure authority level) will need to sign off.</p> <p>Monthly reports are collated on supplier purchases. These supplier expenditure reports highlight any examples where an officer may have acted outside of the <i>Purchasing Policy</i>. For instance, a purchase order raised after an invoice or statement is received. These reports are circulated to Management.</p>	Review the <i>Employee Action Form</i> to assess whether further training options (not limited to purchasing and tendering) would be beneficial. For example, we understand that governance training will be available in September 2021 and delegation training in early 2022.
Corporate Business Plan (CBP) requirements	<p>The CBP is reviewed annually. It identifies the City's priority projects and contains details of the City's resources and capacity.</p> <p>The City has an officer dedicated to corporate planning. The Manager Economic Development and Marketing is responsible for ensuring legislation in relation to corporate planning is followed. A calendar of key review events are set at the beginning of each financial year. We understand from the relevant officers that the CBP review is managed as a part of the Business Planning Process. This process begins in February, including councillor training sessions.</p>	We understand from discussion with the officers that the City does not have a Workforce Plan. Although this is not required by legislation, the City may consider drafting a Workforce Plan.

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	<p>A project prioritisation process is undertaken to establish key projects for the CBP. This process is conducted by a working group of relevant managers. The methodology requires consideration to be given to various elements of each potential project including resourcing requirements, workplace health and safety requirements and legislative requirements. Potential projects are ranked and presented to the Executive Team to review. The list is then presented to council to endorse.</p> <p>The more significant capital projects are highlighted to council as part of budget process.</p> <p>Once council endorses the budget, the CBP is updated accordingly.</p>	
Strategic Community Plan (SCP) requirements	<p>The SCP is reviewed at least every four years. The last review was completed in 2019. The SCP is currently undergoing a major review. Focus is given to relevant regulations, for instance, by ensuring the document is up to date and community engagement methodology is sufficient.</p> <p>Significant effort is given to community consultation. The City strives to consider a diverse community profile and various engagement methods. Consideration is also given to previous community surveys and other engagement results.</p> <p>The review methodology and final SCP is endorsed by council. Council undergo several workshops in relation to the SCP review. Findings from these workshops are recorded and reported to officers conducting the review.</p> <p>The SCP Major review is supported by the <i>Project Plan for Strategic Community Plan Major Review 21/22 – 22/23</i>. We understand from discussions with relevant staff that the SCP reviews are conducted under a fairly 'organic' approach and is guided by no overarching formal SCP review procedure or corporate checklist.</p>	<p>Draft and endorse a guideline document for minor and major SCP reviews. This should include identifying the City's standards for community engagement, regulatory requirements of the SCP review, key stakeholders (internal and external) and the general review process.</p>
Reporting legal considerations to council	<p>Council report templates include reference to 'legal implications' and 'strategic implications'. Although, we noticed in recent months the 'strategic implications' heading is not included in all reports to council. These factors are taken into consideration when drafting the officer recommendation to the council/committee.</p> <p>The 'legal implications' section is monitored by the Governance Team. The relevant Directors approve the reports to council. The Manager Governance and relevant Directors attend the Agenda Settlement Meetings. Planning reports are dealt with in a separate meeting, attended by an expert Director.</p> <p>All motions are recorded in the <i>Motions Register</i>, which is managed by the Governance Team. Motions are removed from the register once completed.</p>	<p>Ensure 'strategic implications' are included in all reports to council, along with 'legal implications' and 'financial implications'.</p> <p>Consider amending the policy and procedure for <i>Writing reports for Council and Committee</i> (2019) (and any relevant report templates) to include a risk assessment in all reports to council and committees. This may be in the form of a risk</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
		matrix. Although this is not required by legislation, it has the potential to improve the effectiveness of the City's risk management strategies.
Auditing practices	Like all other local governments, the City's audits are managed by the OAG. The audits are not influenced by council. The City does not conduct formal internal auditing.	Consider implementing internal processes for tests/checks for legislative compliance across the organisation. In particular, this would be to assist areas where legislative compliance might not be strongly understood and/or consequences are significant.
Actioning audit findings	All audit actions are compiled in the Audit Actions Register (for more information please see "ARMC compliance with regulation 16(d) of the <i>Local Government (Audit) Regulations 1996</i> (WA)").	
Reporting risks and issues to the ARMC and council	Emerging Issues are reported to the ARMC. Additionally, the Corporate Risk Management Register (compiling all medium-high level risks) is reported to council regularly. This register is discussed at Executive Meetings and is mostly completed by the City's directors.	
Monitoring breaches of the <i>Code of Conduct Employees 2020</i>	All employees are required to sign the Employee Code of Conduct (CoC) during their induction. An annual report of CoC breaches is compiled by the City's managers and reported to People and Culture. Employees will be encouraged to report breaches of the CoC in the new governance induction training.	Include adoption/approval details in the <i>Code of Conduct Employees 2020</i> (similarly to the City's policy template).
Monitoring breaches of the <i>Council Members, Committee Members and Candidates Code of Conduct 2021</i>	The council amend and adopt the Councillor CoC. The current Councillor CoC was adopted in April 2021, in compliance with the <i>Local Government (Model Code of Conduct) Regulations 2021</i> (WA). Councillor CoC breaches are reported to the Manager Governance (complaints officer).	Include adoption/approval details in the <i>Council Members, Committee Members and Candidates Code of Conduct 2021</i> (similar to the City's policy template).
Compliance with meeting procedures	Council meetings are managed in accordance with the <i>Elected Member Meeting Procedures Policy (August 2018)</i> . The Presiding Member is responsible for	Review the <i>Elected Member Meeting Procedures Policy (August</i>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	<p>highlighting inconsistencies with the policy. The policy is reviewed following councillor elections. The City does not currently have a Standing Orders Local Law.</p> <p>Meeting agendas go through an agenda settlement and approval process. The officers involved in this process know the relevant requirements.</p> <p>Various template/guideline/procedural documents are available to support officers developing agendas, minutes and reports. For example, the policy and procedure for <i>Writing reports for Council and Committee</i> (2019) and the procedure for <i>Minute taking and packing down the North Fremantle Hall</i> (July 2019). These supporting documents address the relevant statutory or policy requirements.</p>	<p>2018) (due to be reviewed in 2020) to retain contemporary relevance.</p> <p>Review the procedure for <i>Minute taking and packing down the North Fremantle Hall</i> (July 2019) (was due to be reviewed in July 2021).</p> <p>Include adoption/approval/review details in the policy and procedure for <i>Writing reports for Council and Committee</i> (2019).</p>
Councillor disclosures of interests	<p>All councillors undertake training regarding disclosures of interest.</p> <p>Disclosures must be made in writing. Forms are available on the Bigtincan Hub and on the desks of all councillors at the beginning of council meetings.</p> <p>The Governance Team are available to assist if councillors have queries regarding disclosures of interest or gifts. The Governance Team will also raise concerns if they have reason to believe a disclosure may have been missed. All errors will be corrected in the meeting minutes.</p>	
Issuing parking infringements	<p>The City has a <i>Parking Local Law</i> (2006). This local law has recently undergone a review. The amended local law is currently with the Joint Standing Committee.</p> <p>All Parking Officers must complete training on the local law during the induction process. The Senior Parking Officer will then conduct on-the-job training with new Parking Officers.</p> <p>If Parking Officers encounter an unusual situation, they will call the Team Leader Parking for clarification. If required, the Team Leader Parking will consult with the City's solicitors.</p> <p>The process for issuing an infringement is essentially a checklist in itself. The software used is a third party system operating from Melbourne. Each step must be completed/accepted before proceeding to the next. The system includes all possible clauses in accordance with the local law. It is possible for an incorrect clause to be selected. According to the City's policy, three photos must be captured as evidence (the number plate, the infringement itself and the signage). Infringements download onto City server.</p>	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	Infringements from the last five years are stored on the City's database. Older infringements are stored on another database.	
Parking infringement appeals	<p>The <i>Parking Infringement Appeals Policy</i> (November 2016) is available on the City's website. This document provides guidance to the relevant officers in relation to which infringements can be withdrawn and what evidence is required.</p> <p>Administrative staff can act through the Team Leader to apply the <i>Parking Infringement Appeals Policy</i> (November 2016). In these circumstances, administrative staff can write off the infringement without further approval if the conditions/limitations of the policy are met. However, where circumstances are not captured in the policy, the administrative staff will need to consult with officers who have been delegated powers under s9.19 and 9.20 of the <i>Local Government Act 1996</i> (VWA) from the CEO.</p> <p>Any second appeal will be handled by a different administrative member of staff. Any third appeal will be handled by the Team Leader.</p> <p>It is understood that officers should not deal with infringements that involve family members or friends. This has not been written into a policy. Instead, the CoC is relied upon.</p> <p>The Director must approve all dismissals of employee infringement notices.</p> <p>If a parking infringement was issued in error, the Parking Officer can email the Team Leader Parking to request the infringement be deemed null and void. If the infringement is deemed null and void, it will remain on the records system.</p>	<p>Review the <i>Parking Infringement Appeals Policy</i> (November 2016).</p> <p>Include a review deadline in the <i>Parking infringement appeals Policy</i> (November 2016).</p> <p>Include in the policy or an internal procedure, the requirement for officers to declare interests in infringement matters (e.g. family members and close friends)</p> <p>Draft a procedure for writing off parking infringements (internal document) to support administrative staff handling appeals requests.</p>
Leisure Centre chemical management	<p>Leisure Centre Employees complete hazardous substances training during inductions. Employees who deal with chemicals are issued with their own Personal Protective Equipment (PPE). Employees are made aware of where <i>Material Safety Data Sheets</i> are kept. Ongoing training is not generally conducted. It is instead the role of the managers to observe and ensure that proper process is being followed.</p> <p>The Department of Mines, Industry Regulation and Safety regulate the use liquefied chlorine gas. Other chemicals are not required to be registered with the Department of Mines, Industry Regulation and Safety as they are not stored in large enough quantities. The officers responsible for ordering chemicals understand the relevant requirements and maximum quantities.</p> <p>We understand from the relevant officers that the Leisure Centre Manifest is available onsite. It includes a register of all chemicals onsite as well as licencing limitations on those chemicals.</p>	<p>Consider implementing refresher training in relation to workplace health and safety requirements (e.g. PPE and chemical management) at the Leisure Centre.</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	Hazardous substance storage is included in daily checks. We understand these routine checks are guided by checklists (completed and recorded).	
Leisure Centre Safety Practices	<p>Practice is dictated by relevant Australian Standards. The <i>Leisure Centre Safety Plans</i> are available onsite.</p> <p>The City works closely with the Royal Life Saving Society, who provide guidelines for safe pool practices. Every three years the Royal Life Saving Society conducts an audit of the Leisure Centre and drafts a <i>Risk Assessment and Safety Improvement Plan</i>. This is funded by LGIS. The document includes references to the Code of Practice and relevant Regulations, for example the <i>Health (Public Buildings) Regulations 1992 (WA)</i>, the <i>Health (Aquatic Facilities) Regulations 2007 (WA)</i>, the <i>Dangerous Goods Safety (Storage and Handling of Non-explosives) Regulations 2007 (WA)</i> and the <i>Occupational Safety and Health Regulations 1996 (WA)</i>.</p> <p>The City's Emergency Control Committee promotes local emergency planning and preparedness. The Leisure Centre has an <i>Emergency Response Plan</i>. Emergency Evacuation Drills are conducted annually. A third party is engaged to assist in order to receive an independent assessment.</p> <p>Leisure Centre employees undergo regular workplace health and safety training and first aid. For example, regular refresher training for self-contained breathing apparatus is conducted by an external agency.</p> <p>Various safety checks are regularly conducted, in some cases on a daily basis. This includes checking regulator cartridges and testing the defibrillator. We understand these routine checks are guided by checklists (completed and recorded).</p> <p>Safety equipment, including the defibrillator, are contracted to be serviced every six months.</p>	
Leisure Centre monitoring legislative compliance	<p>The Leisure Centre operates under the Western Australian Department of Health Code of Practice. The Code of Practice provides guidance for meeting regulatory requirements.</p> <p>Changes in legislative or regulatory requirements are identified in Improvement Notices from the Western Australian Department of Health and notifications from the industry peak body. For example, standards recently changed relating to chlorine gas management. After 18 months the Western Australian Department of Health began conducting onsite inspections to ensure swimming pools were compliant.</p> <p>The City often engages an independent consultant to interpret changes to Australian standards and advise the City. Where changes to the Leisure Centre's practices are</p>	<p>Capture legislative requirements of the leisure centre in a compliance calendar. Ensure reminders are sent to multiple officers to ensure legislative compliance is met, without reliance on external bodies.</p> <p>Include legislative requirements for the leisure centre in induction and refresher training for relevant leisure centre employees.</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	<p>required in order to be compliant with standards and legislation, the relevant officers consider various compliance and management strategies.</p> <p>Legislative requirements of the Leisure Centre are generally not captured in an internal guidelines/procedural documents. In some cases, the City relies on the annual review of licences and permits as compliance reminders/triggers.</p> <p>Officers at the Leisure Centre do not undergo training on legislative requirements specifically.</p>	
Ensuring leisure centre prices are aligned with the Schedule of Fees and Charges	<p>New fees and charges are usually advertised in July (including leisure centre notice boards) and implemented on 1 August.</p> <p>The response to updated fees and charges are digitised i.e. the sale software is updated with new prices.</p>	
Responding to Public Health Emergency Directives	<p>Information received from authorities (Western Australian Department of Health, Department of Local Government, Sport and Cultural Industries, Western Australian Police Force) are sent from the Health Team to senior employees in its original form. For example, Managers and Directors receive bulletins from the Public Health Emergency Operations Centre (PHEOC). We understand from discussions with officers that the information received from these authoritative sources have, in the past, been conflicting. We were advised that such conflicting messaging has not been observed for some time now.</p> <p>The Executive Leadership Team meets to provide guidance and structure in relation to COVID-19 management and Public Health Emergency Directives. When required, CEO directives will be sent via teams, email or text, for example directives to work from home.</p> <p>It is the responsibility of individual directors and managers to interpret the information received and apply it to their team/site. It is also the responsibility of managers to ensure staff are properly informed and trained to carry out any additional tasks. For example, Leisure Centre employees were required to complete online hygiene training. If unsure, the managers and directors can seek further advice from the Health Team. PHEOC is consulted for clarification where required.</p> <p>Various sites (especially those which operate outside of standard office hours or host large events) are required to respond immediately to Public Health Emergency Directives rather than wait for internal directives/communications.</p>	<p>Ensure all relevant staff are aware of the Fremantle Health Team's role of providing advice/clarification (or seeking if from PHEOC).</p>

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	All officers we have spoken with confirmed that they are confident that minimum requirements are being met.	
Preventing spread of infectious disease	The <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> (March 2020) addresses hygiene standards and quarantine requirements for all employees, contractors and volunteers at the City of Fremantle. It also outlines responsibilities for employees and the employer.	<p>Include a review deadline in the <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> (March 2020).</p> <p>The <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> was last reviewed in March 2020. If not already done, ensure this policy is being regularly reviewed (perhaps more regularly than the review deadline suggests). This is especially relevant following new information being released or a change in conditions.</p>
Preparing COVID-19 Safety Plans	<p>Each of the City's sites has a <i>COVID-19 Safety Plan</i>. COVID-19 Safety Plans are the responsibility of the manager of each site (e.g. Art Centre, Library, Leisure Centre) based on a pro-forma provided by the state government. All <i>COVID-19 Safety Plans</i> were endorsed by the Manager Facilities to ensure minimum requirements were met. These plans address physical distancing, hygiene, training, compliance and response planning.</p> <p>Formal internal audits are not conducted to ensure <i>COVID-19 Safety Plans</i> are being complied with. It is the responsibility of the relevant manager to monitor compliance with the <i>COVID-19 Safety Plan</i>.</p> <p>The Facilities Team are able to provide guidance in relation to supplies and signage.</p>	<p>Conduct internal audits to ensure all sites are acting in accordance with their <i>COVID-19 Safety Plan</i>.</p> <p>These audits should all be conducted by the same team to ensure consistency.</p>
Managing lockdowns	We were informed by employees of the City that the City has a Business Continuity Plan for pandemics and was able to efficiently respond to lockdown scenarios by requesting all non-essential staff to work from home. Staff are now familiar with working from home practices and are instructed to take their devices home each day in preparation for potential future "lock-down" events.	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



System or procedure	Description	Suggested actions
	<p>We understand from the relevant officers that procedures are in place to support essential staff, where reasonable.</p> <p>Essential services are managed to ensure continuity of services. For instance, waste removal services continued during lockdowns on a three-week shift pattern. Shift teams were isolated from each other to reduce the possibility of shift workers contracting the virus from one another.</p> <p>New programs were commenced during lockdown to support vulnerable people. For example, the Neighbour to Neighbour program provided a network for residents to assist those in need by completing basic tasks for them in accordance with lockdown requirements (e.g. grocery shopping, collecting medication, dog walking, etc.).</p> <p>Some programs are now being run completely online to avoid disruptions. For example, the Art Market is now operating online.</p> <p>Debriefs are conducted after each lockdown to identify issues and areas for improvement.</p>	

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



Appendix 1: Resources (employees interviewed)

Name	Position/Title
Anne-Marie Bartlett	Governance Officer
Kenan Bender	Senior Environmental Health Officer
Craig Best	Manager Asset Management
Amanda Boffey	Information Management Team Leader
Beverley Bone	Manager Community Development
Charlie Clarke	Manager Governance
Mark David	Manager People and Culture
Paul Dunlop	Manager Communications and Events
John East	Fremantle Leisure Centre Manager
Jay Ellis	Manager Customer Experience and Learning
John Flindell	Team Leader Parking
Matt Hammond	A/Director City Business
Anna Reece	Fremantle Arts Centre Director
Phillida Rodic	Manager Strategic Planning
David Stewart	Procurement Team Leader
Tony Strickland	Manager Facilities and Environmental Management
Kathryn Taylor	Manager Arts and Culture

Appendix 2: Resources (documents sighted)

Document Title	Date
Authority to Tender E-Form	2019 (copyright)
CEO COVID Update example (email)	July 2021
Certificate of Authorisation example (email)	October 2020
Certificate of Authority – Strategic Planning Officer (attachment)	
Code of Conduct Employees 2020	2020
Community Engagement Policy	March 2019 (adopted)
Community Strategic Plan	
Complaint Management System Policy	February 2013 (adopted)
Compliance Audit Return (CAR) Procedure	February 2021 (adopted)
Corporate Business Plan 2019 - 2023	
Council Code of Conduct Division 3 Complaint Handling Policy	June 2021
Council Committees and Groups Register 2019 – 2021	
Council Members, Committee Members and Candidates Code of Conduct 2021	April 2021 (adopted)
Elected Member Meeting Procedures Policy	August 2018 (amended)
Elected Member Professional Development Policy	September 2020
Employee Action Form	2019 (copyright)

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



Document Title	Date
FOI Internal Process Flow Chart	Unknown
Freedom of Information Statement 2021/22	June 2021
Giving Local Public Notice Procedure	March 2021 (adopted)
Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus – Administration policy	March 2020
Leisure Centre Checklist Template	July 2021
Leisure Centre COVID-19 Safety Plan	August 2021
Life Guard Audit Sheet	unknown
Meeting attachments – Audit and Risk Management Committee February 2021	February 2021
Minutes – Audit and Risk Management Committee November 2020	November 2020
Minutes – Ordinary Meeting of Council November 2020	November 2020
Minute taking and packing down the North Fremantle Hall – Procedure	July 2019 (amended)
Notification of Delegation example (email)	August 2021
Notification of Delegation Letter – Strategic Planning Officer (attachment)	
Parking infringement appeals Policy	November 2016 (adopted)
Parking Local Law	2006
PHEOC Bulletin #78	September 2021
Project Plan for Strategic Community Plan Major Review 21/22 – 22/23	August 2021 (date for Version A)
Purchasing Policy	November 2020 (amended)
Register of Delegation Authority 2021 – 2022	May 2021 (adopted)
Safety Assessment & Safety Improvement Plan Fremantle Leisure Centre 2018	2018
Strategic Community Plan 2015 – 2025	August 2019 (revised)
Writing reports for Council and Committee 2019 – Policy and Procedure	2019

City of Fremantle
Systems and Procedures Review – Legislative Compliance
October 2021



Disclaimer

This report has been prepared on the basis of information provided to Civic Legal by the employees of the Local Government. The information was provided in the form of documents and representations from officers of the Local Government in the course of a review conducted by Civic Legal. That review was in the nature of a due diligence exercise, calculated to produce the descriptions contained in this report. Where options are suggested for management action, they do not constitute legal advice, as the provision of legal advice is outside the scope of the review. It is also outside the scope of this review for Civic Legal to review the content of any individual policies, plans or other documents.



Suite 2, Ground Floor, 1 Havelock Street, West Perth WA 6005
PO Box 7432 Cloisters Square WA 6850
T. 9200 4900
www.civiclegal.com.au

ATTACHMENT 2 - Table of findings with officer comments

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

System or procedure	Description	Suggested actions	Officer Comment
a. Elected member professional development	Professional development requirements are captured in the <i>Elected Member Professional Development Policy</i> (September 2020). This policy is available on the City's website, as required by legislation. Policies relating to elected members are reviewed after each election (every two years). All councillors must complete the mandatory elected member training. Individual councillors can select additional training opportunities to participate in (up to their budgetary allocation). Some training options are identified in the monthly newsletter that is sent to councillors.	Include a review deadline in the <i>Elected Member Professional Development Policy</i> (September 2020). Amend the policy to highlight a preference that elected members prioritise training in areas where they have official capacities (e.g. Audit and Risk Management Committee responsibilities).	Manager Governance response: Review deadline has been included in the Elected Member Professional Development Policy. This policy will be included in a review of all elected member council policies, where this amendment will be considered. Estimated completion – 28 February 2022
b. Record Keeping Plan review	The City is currently reviewing (re-writing) their <i>Record Keeping Plan</i> (due to be submitted in November 2021). The plan will undergo internal checks by the relevant manager, director and the CEO prior to being sent to the State Records Office. The State Records Office will assess the plan to ensure the <i>State Records Act 2000</i> (WA) has been appropriately interpreted and considered within the <i>Record Keeping Plan</i> . The review process was triggered by a letter sent from the Officer of the Information Commissioner.	Ensure internal reminder(s) are established to trigger the next Record Keeping Plan review. This reminder(s) should not be limited to an individual officer's calendar. For example, reminders could be added to the Governance Team's Compliance Calendar.	Information Management Team Leader response: Information Management Team Leader will liaise with Governance to include Record Keeping Plan trigger dates for review, amend and rewrite as applicable.
c. Completing the compliance audit return (CAR)	The City's procedure for completing the CAR is captured in the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021). Where the budget allows, the CAR is completed by an external consultant. The procedural document provides guidelines for appointing a consultant, in line with the City's <i>Purchasing Policy</i> . Once the City has received quotes, a recommendation is submitted to the Manager Governance. The City does not set out minimum sampling requirements for the	Amend the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021) to identify minimum sampling requirements expected of the consultant. This could be included in the initial request and/or could be a major consideration when selecting the	Manager Governance response: Review deadline included in the CAR Procedure – completed October 2021 This amendment will be considered during the upcoming review of the

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>completion of the CAR. The consultant determines appropriate use of sampling to satisfy themselves that compliance has been met.</p> <p>The same consultant has been selected for multiple years due to their familiarity with the records system (less time required).</p> <p>Most points of non-compliance identified in the 2020 CAR were due to the late receipt of audit reports from the OAG. These points of non-compliance are likely to be reported in the 2021 CAR.</p> <p>Where non-compliance has been reported, the City had previously notified the Department and the Corruption and Crime Commission (CCC).</p> <p>The completed CAR is presented to the ARMC and then the council. Once approved by the council, it is sent to the department.</p>	<p>successful applicant.</p> <p>Include a review deadline in the <i>Compliance Audit Return (CAR) Procedure</i> (February 2021).</p> <p>Consider using alternative consultants to complete the CAR every few years.</p>	<p>procedure.</p> <p>Consultants will be appointed in accordance with the purchasing policy as previously.</p> <p>Estimated completion – 31 January 2022</p>
d. Complaints management	<p>The complaints procedure is available online. It can be completed in person, by post, over the phone, via email or through the City's website. All complaints are received by the Customer Service Team. The Customer Request Management System (CRM) allows information regarding each complaint to be recorded and allocates complaints to the relevant business unit. The complaint will be managed through to resolution by the manager of that business unit. The applicant must receive a response within 10 days and be kept informed throughout the process.</p> <p>Complaints (especially employee complaints) are often dealt with by the People and Culture Team. Some officers in the People and Culture Team are trained in government investigations.</p> <p>The City has a <i>Complaint Management System Policy</i> (February 2013) available on the website. The City's website provides the public with guidance for how to make a complaint about employees of the City and the City's councillors, committee members and/or candidates.</p> <p>We understand the Public Interest Disclosure (PID) officers have procedural documents to follow.</p>	<p>Review the <i>Complaint Management System Policy</i> (February 2013) (was due to be reviewed in 2017).</p> <p>Develop a comprehensive internal complaints procedure that can be followed by all departments and outlines minimum requirements and/or expectations.</p>	<p>Manager Customer Experience and Learning response:</p> <p>Governance and Customer Service teams to meet, review and agree on an internal complaints procedure.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

e. Compliance with purchasing and tendering requirements	<p>The City's <i>Purchasing Policy</i> was last updated in November 2020. An <i>Employee Action Form</i> must be completed for all incoming staff. Training needs are identified within this form, including procurement training. Tender evaluation training can also be completed when required/requested.</p> <p>An <i>Authority to Tender E-Form (E-Form)</i> must be completed for every purchase over \$150,000. The E-Forms are completed by the relevant Project Manager. It will then be reviewed by the Team Manager and Director before being sent to the Procurement Team to carry out. The Procurement Team will raise any concerns or questions if required. Any errors or gaps in the forms are corrected due to the various checks in the approvals process.</p> <p>The E-Form requires estimated cost details to be input. The form will be rejected if the officer is entering an estimated cost that is outside of their expenditure authority. A tender number must be input for any request over \$250,000.</p> <p>Purchase orders include a nominated value bracket. Depending on the value bracket, either the manager or director (with a higher expenditure authority level) will need to sign off.</p> <p>Monthly reports are collated on supplier purchases. These supplier expenditure reports highlight any examples where an officer may have acted outside of the <i>Purchasing Policy</i>. For instance, a purchase order raised after an invoice or statement is received. These reports are circulated to Management.</p>	<p>Review the <i>Employee Action Form</i> to assess whether further training options (not limited to purchasing and tendering) would be beneficial. For example, we understand that governance training will be available in September 2021 and delegation training in early 2022.</p>	<p>Manager Asset Management response:</p> <p>Yes, we can review the form and training requirements.</p>
f. Corporate Business Plan (CBP) requirements	<p>The CBP is reviewed annually. It identifies the City's priority projects and contains details of the City's resources and capacity.</p> <p>The City has an officer dedicated to corporate planning. The Manager Economic Development and Marketing is responsible for ensuring legislation in relation to corporate planning is followed. A calendar of key review events are set at the beginning of each financial year. We understand from the relevant officers that the CBP review is managed as a part of the Business Planning Process. This process begins in February, including councillor training sessions.</p> <p>A project prioritisation process is undertaken to establish key</p>	<p>We understand from discussion with the officers that the City does not have a Workforce Plan. Although this is not required by legislation, the City may consider drafting a Workforce Plan.</p>	<p>Manager Economic Development and Marketing response:</p> <p>The City is currently working on the development of a workforce plan.</p> <p>Estimated completion – 31/12/2022</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>projects for the CBP. This process is conducted by a working group of relevant managers. The methodology requires consideration to be given to various elements of each potential project including resourcing requirements, workplace health and safety requirements and legislative requirements. Potential projects are ranked and presented to the Executive Team to review. The list is then presented to council to endorse.</p> <p>The more significant capital projects are highlighted to council as part of budget process.</p> <p>Once council endorses the budget, the CBP is updated accordingly.</p>		
g. Strategic Community Plan (SCP) requirements	<p>The SCP is reviewed at least every four years. The last review was completed in 2019. The SCP is currently undergoing a major review. Focus is given to relevant regulations, for instance, by ensuring the document is up to date and community engagement methodology is sufficient.</p> <p>Significant effort is given to community consultation. The City strives to consider a diverse community profile and various engagement methods. Consideration is also given to previous community surveys and other engagement results.</p> <p>The review methodology and final SCP is endorsed by council. Council undergo several workshops in relation to the SCP review. Findings from these workshops are recorded and reported to officers conducting the review.</p> <p>The SCP Major review is supported by the <i>Project Plan for Strategic Community Plan Major Review 21/22 – 22/23</i>. We understand from discussions with relevant staff that the SCP reviews are conducted under a fairly 'organic' approach and is guided by no overarching formal SCP review procedure or corporate checklist.</p>	<p>Draft and endorse a guideline document for minor and major SCP reviews. This should include identifying the City's standards for community engagement, regulatory requirements of the SCP review, key stakeholders (internal and external) and the general review process.</p>	<p>Manager Strategic Planning response:</p> <p>Council endorsed pursuit of an integrated strategic planning and reporting framework involving biennial review after each election in September 2018. More detailed procedure could be prepared, referring to the Department of Local Government's Guidelines where appropriate.</p> <p>Estimated completion – 30 June 2022</p>
h. Reporting legal considerations to council	<p>Council report templates include reference to 'legal implications' and 'strategic implications'. Although, we noticed in recent months the 'strategic implications' heading is not included in all reports to council. These factors are taken into consideration when drafting</p>	<p>Ensure 'strategic implications' are included in all reports to council, along with 'legal implications' and 'financial implications'.</p>	<p>Manager Governance response:</p> <p>A report will be taken to ELT for consideration to include</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>the officer recommendation to the council/committee.</p> <p>The 'legal implications' section is monitored by the Governance Team. The relevant Directors approve the reports to council. The Manager Governance and relevant Directors attend the Agenda Settlement Meetings. Planning reports are dealt with in a separate meeting, attended by an expert Director.</p> <p>All motions are recorded in the <i>Motions Register</i>, which is managed by the Governance Team. Motions are removed from the register once completed.</p>	<p>Consider amending the policy and procedure for <i>Writing reports for Council and Committee</i> (2019) (and any relevant report templates) to include a risk assessment in all reports to council and committees. This may be in the form of a risk matrix. Although this is not required by legislation, it has the potential to improve the effectiveness of the City's risk management strategies.</p>	<p>an additional heading in the report template and policy amendment.</p> <p>Estimated completion – 31 January 2022.</p>
i. Compliance with meeting procedures	<p>Council meetings are managed in accordance with the <i>Elected Member Meeting Procedures Policy</i> (August 2018). The Presiding Member is responsible for highlighting inconsistencies with the policy. The policy is reviewed following councillor elections. The City does not currently have a Standing Orders Local Law.</p> <p>Meeting agendas go through an agenda settlement and approval process. The officers involved in this process know the relevant requirements.</p> <p>Various template/guideline/procedural documents are available to support officers developing agendas, minutes and reports. For example, the policy and procedure for <i>Writing reports for Council and Committee</i> (2019) and the procedure for <i>Minute taking and packing down the North Fremantle Hall</i> (July 2019). These supporting documents address the relevant statutory or policy requirements.</p>	<p>Review the <i>Elected Member Meeting Procedures Policy</i> (August 2018) (due to be reviewed in 2020) to retain contemporary relevance.</p> <p>Review the procedure for <i>Minute taking and packing down the North Fremantle Hall</i> (July 2019) (was due to be reviewed in July 2021).</p> <p>Include adoption/approval/review details in the policy and procedure for <i>Writing reports for Council and Committee</i> (2019).</p>	<p>Manager Governance response:</p> <p>The Meeting Procedures Policy is currently under review</p> <p>Procedure for Minute taking and packing down the North Fremantle Hall will be deleted as the Hall will no longer be used for meetings.</p> <p>It should be noted that new procedure documents will be created for the Chamber at the Walyalup Civic Centre.</p> <p>Adoption/approval details are included in the policy and procedure for Writing Reports for Council and Committee.</p> <p>Estimated completion – 28</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

			February 2022
j. Parking infringement appeals	<p>The <i>Parking Infringement Appeals Policy</i> (November 2016) is available on the City's website. This document provides guidance to the relevant officers in relation to which infringements can be withdrawn and what evidence is required.</p> <p>Administrative staff can act through the Team Leader to apply the <i>Parking Infringement Appeals Policy</i> (November 2016). In these circumstances, administrative staff can write off the infringement without further approval if the conditions/limitations of the policy are met. However, where circumstances are not captured in the policy, the administrative staff will need to consult with officers who have been delegated powers under s9.19 and 9.20 of the <i>Local Government Act 1996</i> (WA) from the CEO.</p> <p>Any second appeal will be handled by a different administrative member of staff. Any third appeal will be handled by the Team Leader.</p> <p>It is understood that officers should not deal with infringements that involve family members or friends. This has not been written into a policy. Instead, the CoC is relied upon.</p> <p>The Director must approve all dismissals of employee infringement notices.</p> <p>If a parking infringement was issued in error, the Parking Officer can email the Team Leader Parking to request the infringement be deemed null and void. If the infringement is deemed null and void, it will remain on the records system.</p>	<p>Review the <i>Parking Infringement Appeals Policy</i> (November 2016).</p> <p>Include a review deadline in the <i>Parking infringement appeals Policy</i> (November 2016).</p> <p>Include in the policy or an internal procedure, the requirement for officers to declare interests in infringement matters (e.g. family members and close friends)</p> <p>Draft a procedure for writing off parking infringements (internal document) to support administrative staff handling appeals requests.</p>	<p>Manager Field Services response:</p> <p>Procedure – Issuing a parking infringement covers issuing an infringement and writing off parking infringements.</p> <p>The Parking Infringement Appeals Policy is scheduled for review in November 2021, with a report to Council in early 2022 with recommended changes.</p> <p>Included in the policy will be a procedure, for officers to declare interests in infringement matters (e.g. family members and close friends)</p> <p>A procedure will be drafted in November 2021 for all staff involved in writing off parking infringements and to support administrative staff handling appeals requests.</p>
k. Leisure Centre chemical management	<p>Leisure Centre Employees complete hazardous substances training during inductions. Employees who deal with chemicals are issued with their own Personal Protective Equipment (PPE). Employees are made aware of where <i>Material Safety Data Sheets</i> are kept. Ongoing training is not generally conducted. It is instead the role of the managers to observe and ensure that proper process is being followed.</p> <p>The Department of Mines, Industry Regulation and Safety</p>	<p>Consider implementing refresher training in relation to workplace health and safety requirements (e.g. PPE and chemical management) at the Leisure Centre.</p>	<p>Manager Community Development response:</p> <p>A refresher training session on workplace health and safety will be included into the annual aquatic training</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>regulate the use liquefied chlorine gas. Other chemicals are not required to be registered with the Department of Mines, Industry Regulation and Safety as they are not stored in large enough quantities. The officers responsible for ordering chemicals understand the relevant requirements and maximum quantities.</p> <p>We understand from the relevant officers that the Leisure Centre Manifest is available onsite. It includes a register of all chemicals onsite as well as licencing limitations on those chemicals.</p> <p>Hazardous substance storage is included in daily checks. We understand these routine checks are guided by checklists (completed and recorded).</p>		program.
I. Responding to Public Health Emergency Directives	<p>Information received from authorities (Western Australian Department of Health, Department of Local Government, Sport and Cultural Industries, Western Australian Police Force) are sent from the Health Team to senior employees in its original form. For example, Managers and Directors receive bulletins from the Public Health Emergency Operations Centre (PHEOC). We understand from discussions with officers that the information received from these authoritative sources have, in the past, been conflicting. We were advised that such conflicting messaging has not been observed for some time now.</p> <p>The Executive Leadership Team meets to provide guidance and structure in relation to COVID-19 management and Public Health Emergency Directives. When required, CEO directives will be sent via teams, email or text, for example directives to work from home.</p> <p>It is the responsibility of individual directors and managers to interpret the information received and apply it to their team/site. It is also the responsibility of managers to ensure staff are properly informed and trained to carry out any additional tasks. For example, Leisure Centre employees were required to complete online hygiene training. If unsure, the managers and directors can seek further advice from the Health Team. PHEOC is consulted for clarification where required.</p> <p>Various sites (especially those which operate outside of standard</p>	<p>Ensure all relevant staff are aware of the Fremantle Health Team's role of providing advice/clarification (or seeking if from PHEOC).</p>	<p>Manager Field Services response:</p> <p>The Environmental Health Section will, in consultation with City's Communications Services, and prior to 24 December 2021, release a communique to City staff, advertising the role of the Environmental Health Section in advising on/and promoting Covid-19 safety and compliance.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	office hours or host large events) are required to respond immediately to Public Health Emergency Directives rather than wait for internal directives/communications. All officers we have spoken with confirmed that they are confident that minimum requirements are being met.		
m. Ensuring the Audit and Risk Management Committee (ARMC) members understand their role	All members of the ARMC are given a copy of the committee's <i>Terms of Reference</i> . The ARMC <i>Terms of Reference</i> can be found in the <i>Council, Committees and Groups Register 2019 - 2021</i> . The <i>Terms of Reference</i> identifies the functions of the ARMC. In particular, the language used in the <i>Terms of Reference</i> is similar to that of regulation 16 (functions of audit committee) of the <i>Local Government Act (Audit) Regulation 1996</i> (WA). This document is reviewed after each election (every two years). The ARMC consists of councillors and a professional independent member. The independent member is invited to attend relevant induction training. No further auditing or risk management training is required for those councillors who make up the ARMC. The Governance Team provide further governance support when requested or where the Manager Governance believes it will be useful/helpful. The Manager Governance will meet with members of the committee if they require more information or clarification. The committee are encouraged to ask questions. All formal questions are captured in a written document.	Consider amending the <i>Terms of Reference</i> to include specific training requirements for ARMC members. Although such amendment is not required by legislation, it has the potential to improve the quality of input from ARMC members. For instance, an amendment could be made that requires the councillors who comprise the ARMC to undergo suitable auditing and risk management training within three months of their appointment. Ensure all members of the ARMC sign to confirm they have read and understood the ARMC <i>Terms of Reference</i> .	Manager Governance response: Specific training is already offered and available to any elected member who would wish to undertake it. Elected members are already mandated to undertake training under the Local Government Act and are aware of and adopt the terms of reference for the Audit and Risk Management Committee so have read and understood it. No further action considered necessary.

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

n. ARMC compliance with regulation 16(d) of the <i>Local Government (Audit) Regulations 1996</i> (WA)	<p>The Regulation 17 Report is presented to the ARMC. We understand that in the past two years, members of the ARMC have asked questions regarding the report where clarification or further explanation is sought.</p> <p>Actions from the review are added to the Audit Actions Register. Officers will report on the progress of the audit actions to the ARMC in accordance with the procedure to address actions from Audits (presented to the ARMC on 10 November 2020 then Council on 25 November 2020).</p>	<p>The procedure to address actions from Audits (refer to ARMC2011-2) is currently captured in council meeting minutes (25 November 2020). If not already done so, this procedure should be captured in an internal policy/procedural document.</p>	<p>Manager Governance response:</p> <p>This process has been captured in an internal procedure document titled "Capturing actions related to issues identified in audits" – July 2020.</p> <p>Complete – October 2021</p>
o. Responding to FOI access applications	<p>The City has developed a <i>Freedom of Information Statement 2021/22 (June 2021)</i> which was published by the City in accordance with the <i>Freedom of Information Act 1992</i> (WA).</p> <p>The City has a <i>FOI Internal Process Flow Chart</i> to support staff who are responding to the access applications. The procedure is reviewed annually and is based on flowcharts published by the Office of the Information Commissioner.</p> <p>Once an officer assesses an FOI access application, the Decision Maker checks the response and relevant documents before the official response is issued. All responses are therefore seen by a minimum of two officers.</p> <p>All appeals are reviewed by the Review Officer (Director). If a second appeal is made, it is directed to the Office of the Information Commissioner for processing.</p>	<p>Include a date on the <i>FOI Internal Process Flow Chart</i> to identify when it was last reviewed/updated.</p>	<p>Information Management Team Leader response:</p> <p>Review date added to the footer of the document, that will be updated at every review.</p> <p>Complete - 29/10/2021</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

p. Community engagement/consultation	<p>The City's <i>Community Engagement Policy</i> (March 2019) identifies that "<i>consideration is given to things like legislative requirements</i>" and lists some relevant legislation. "Statutory engagement" is briefly addressed under clause 3.4 of this policy. According to this policy, engagement plans should be developed in collaboration with the Community Engagement Team and approved by the Director.</p> <p>It is up to individual teams to identify when they are required to advertise or engage/consult with the public. It is also up to individual teams to arrange for relevant training if seen as required. The Governance Team is available to provide advice on these matters and discuss minimum requirements according to the relevant legislation.</p> <p>The Governance Team has its own <i>Giving Local Public Notice Procedure</i> (March 2021). This procedure includes references to legislative requirements. We understand that the Town Planning Team has a similar procedural document which addresses requirements of town planning matters.</p> <p>The <i>Authority to Tender E-Form</i> addressed s1.7 advertising requirements.</p>	<p>Include a requirement for all engagement plans to contain a 'relevant legislation' section, or something to that effect. I.e. this could be included in any relevant template, guideline document and/or the <i>Community Engagement Policy</i> (March 2019). 'Nil' or 'not applicable' can be written under this section for plans where there is no legislative requirement to seek community consultation.</p>	<p>Manager Strategic Planning response:</p> <p>Complete: Engagement Plan template amended to include 'Legislative Requirements' section.</p>
--------------------------------------	---	--	---

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

q. Monitoring legislative changes	<p>The Governance Team (along with some other officers) are subscribed to State Law Publisher notifications as well as WALGA notifications.</p> <p>Where amendments are relevant to specific departments, the notifications will be sent to the head of the relevant department. Individual teams are then responsible for reacting to the change in legislation. For example, changes to legislation will generally trigger necessary amendments to relevant policies and/or procedures.</p> <p>Training options regarding legislative amendments are also sent to the relevant teams.</p>	<p>Ensure procedures for monitoring legislative changes are addressed in the organisational induction training module.</p>	<p>Manager Governance response:</p> <p>Officers will continue to be advised that they are responsible for keeping up to date on the legislation that applies to their role at the governance induction.</p> <p>The Governance Team will continue to monitor legislative changes through legislation.wa.gov.au and advise managers.</p> <p>No further action considered necessary.</p>
r. Monitoring legislative compliance	<p>Legislative compliance is assessed in annual auditing practices, managed by the Office of the Auditor General (OAG). All required actions are recorded in the Audits Actions Register and actioned appropriately.</p> <p>A monthly update from the Governance Team is presented at Management Team meetings. Topical issues or events are raised during the governance update including new policies, financial reporting reminders or reminders from the Governance Team's Compliance Calendar. The Governance Team will follow up with managers (or their directors) via email until required tasks are complete.</p> <p>Overall, individual managers are responsible for monitoring legislative compliance within their team and addressing any issues identified. Where required, further training will be administered. The Governance Team are available to assist and advise in relation to legislative compliance, when requested.</p> <p>We understand that it is the relevant Manager that is responsible for monitoring their team's activities for any non-compliances and to correct those situations (with assistance from the Governance</p>	<p>Ensure procedures for monitoring legislative compliance are addressed in the organisational induction training module.</p>	<p>Manager Governance response:</p> <p>Officers will continue to be advised that they are responsible for ensuring compliance with the legislation that applies to their role at the governance induction.</p> <p>No further action considered necessary.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	Team as requested).		
s. Providing support to officers on how to comply with relevant legislative requirements	<p>During the recruitment process, applicants' backgrounds and qualifications are assessed to ensure they will be capable of doing the required tasks. Some legal requirements of employees will be addressed in the new governance induction training (introduced in September 2021).</p> <p>Once a month, the Manager Governance is available in the lunch room for any officers to ask questions or discuss any concerns/queries they may have.</p> <p>The M-File approval system is often utilised to monitor progress/status of a particular action or document. This system includes automated reminders for upcoming deadlines. The CI Anywhere software also allows managers and directors to oversee their team's tasks.</p>	<p>Ensure the City has adopted, and regularly reviews, procedural documents/guidelines to support staff when completing common tasks that are regulated by legislation and/or regulations. For example, disposal of land transactions, managing rental agreements, recruitment, purchasing and legislatively mandated document reviews. Priority should be given to high risk and regular tasks.</p> <p>We note that the scope of this review did not allow for the multitude of those kinds of documents to be reviewed and commented upon.</p> <p>Ensure all employees (current and incoming) complete the governance induction training.</p>	<p>Manager Governance response:</p> <p>The City does not repeat legislative requirements by producing processes that are already included in legislation.</p> <p>The Governance Team are available to offer advice and support in interpreting the requirements of legislation and managers are qualified in the relevant areas of legislation specific to their role.</p> <p>No further action considered necessary.</p>
t. Dealing with elected member code of conduct breaches	<p>Councillor complaints are managed by the Manager Governance (also a PID officer).</p> <p>Division 3 breaches of the City's Code of Conduct are assessed by an external person, in accordance with the <i>Council Code of Conduct Division 3 Complaint Handling Policy</i> (June 2021). Their recommendation is presented to council.</p>	<p>Include a review deadline in the <i>Council Code of Conduct Division 3 Complaint Handling Policy</i> (June 2021).</p>	<p>Manager Governance response:</p> <p>Review deadline included in the Council Code of Conduct Division 3 Complaint Handling Policy.</p> <p>Complete – October 2021</p>
u. Auditing practices	<p>Like all other local governments, the City's audits are managed by the OAG. The audits are not influenced by council.</p> <p>The City does not conduct formal internal auditing.</p>	<p>Consider implementing internal processes for tests/checks for legislative compliance across the organisation. In particular, this</p>	<p>Manager Governance response:</p> <p>Given the additional expense and time constraints imposed</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

		would be to assist areas where legislative compliance might not be strongly understood and/or consequences are significant.	in taking part in OAG audits, additional internal auditing was considered unnecessary as an additional burden in recent review of the City's internal review policy. No further action considered necessary.
v. Monitoring breaches of the <i>Code of Conduct Employees 2020</i>	All employees are required to sign the Employee Code of Conduct (CoC) during their induction. An annual report of CoC breaches is compiled by the City's managers and reported to People and Culture. Employees will be encouraged to report breaches of the CoC in the new governance induction training.	Include adoption/approval details in the <i>Code of Conduct Employees 2020</i> (similarly to the City's policy template).	Manager People and Culture response: Sign off on Code of Conduct compliance part of every induction. Adoption/approval details included in the Code of Conduct.
w. Monitoring breaches of the <i>Council Members, Committee Members and Candidates Code of Conduct 2021</i>	The council amend and adopt the Councillor CoC. The current Councillor CoC was adopted in April 2021, in compliance with the <i>Local Government (Model Code of Conduct) Regulations 2021</i> (WA). Councillor CoC breaches are reported to the Manager Governance (complaints officer).	Include adoption/approval details in the <i>Council Members, Committee Members and Candidates Code of Conduct 2021</i> (similar to the City's policy template).	Manager Governance response: Adoption/approval details included in the Council Members, Committee Members, and Candidates Code of Conduct 2021. Complete – October 2021
x. Leisure Centre monitoring legislative compliance	The Leisure Centre operates under the Western Australian Department of Health Code of Practice. The Code of Practice provides guidance for meeting regulatory requirements. Changes in legislative or regulatory requirements are identified in Improvement Notices from the Western Australian Department of Health and notifications from the industry peak body. For example, standards recently changed relating to chlorine gas management. After 18 months the Western Australian Department	Capture legislative requirements of the leisure centre in a compliance calendar. Ensure reminders are sent to multiple officers to ensure legislative compliance is met, without reliance on external bodies. Include legislative requirements	Manager Community Development response: The Centre has developed an annual planner to capture FLC/SRC legislative and compliance requirements.

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>of Health began conducting onsite inspections to ensure swimming pools were compliant.</p> <p>The City often engages an independent consultant to interpret changes to Australian standards and advise the City. Where changes to the Leisure Centre's practices are required in order to be compliant with standards and legislation, the relevant officers consider various compliance and management strategies.</p> <p>Legislative requirements of the Leisure Centre are generally not captured in an internal guidelines/procedural documents. In some cases, the City relies on the annual review of licences and permits as compliance reminders/triggers.</p> <p>Officers at the Leisure Centre do not undergo training on legislative requirements specifically.</p>	<p>for the leisure centre in induction and refresher training for relevant leisure centre employees.</p>	
y. Preventing spread of infectious disease	<p>The <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> (March 2020) addresses hygiene standards and quarantine requirements for all employees, contractors and volunteers at the City of Fremantle. It also outlines responsibilities for employees and the employer.</p>	<p>Include a review deadline in the <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> (March 2020).</p> <p>The <i>Infectious Disease Prevention Policy for Coronavirus (COVID-19) Virus Administration Policy</i> was last reviewed in March 2020. If not already done, ensure this policy is being regularly reviewed (perhaps more regularly than the review deadline suggests). This is especially relevant following new information being released or a change in conditions.</p>	<p>Manager People and Culture response:</p> <p>Agreed. Policy reviewed January 2022 and review deadline included.</p>
z. Preparing COVID-19 Safety Plans	<p>Each of the City's sites has a <i>COVID-19 Safety Plan</i>. COVID-19 Safety Plans are the responsibility of the manager of each site (e.g. Art Centre, Library, Leisure Centre) based on a pro-forma provided by the state government. All <i>COVID-19 Safety Plans</i> were endorsed by the Manager Facilities to ensure minimum</p>	<p>Conduct internal audits to ensure all sites are acting in accordance with their <i>COVID-19 Safety Plan</i>. These audits should all be conducted by the same team to</p>	<p>Manager Community Development response:</p> <p>All new employees at FLC/SRC are required to complete a COVID 19</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>requirements were met. These plans address physical distancing, hygiene, training, compliance and response planning.</p> <p>Formal internal audits are not conducted to ensure <i>COVID-19 Safety Plans</i> are being complied with. It is the responsibility of the relevant manager to monitor compliance with the <i>COVID-19 Safety Plan</i>.</p> <p>The Facilities Team are able to provide guidance in relation to supplies and signage.</p>	ensure consistency.	<p>infection control (hygiene) online course and have read and understood how to use PPE. Requirements outlined in the Safety Plan are continued to be actioned. FLC Manager undertakes random audits of cleaning checklists.</p> <p>Manager Facilities and Environmental Management response:</p> <p>COVID-19 safety plans in each of the City's operational sites will be audited by the Facilities Management team.</p> <p>Complete – October 2021</p>
Aa. Freedom of information (FOI) training	<p>All staff responding to FOI access applications have completed the FOI Coordinator training at the Office of the Information Commissioner. Two of these officers have also completed Decision Maker qualifications. Officers will undertake refresher training if relevant legislation changes.</p> <p>The officers are also members of the WA FOI Group.</p> <p>Officers refer to the Fees and Charges where an applicant is required to pay a fee.</p>	No actions suggested.	<p>Information Management Team Leader response:</p> <p>Not required.</p>
Ab. Compliance with the State Records Act 2000 (WA)	<p>The City recently implemented a new document management system (M-Files). The tendering process for selecting the new system included the use of an expert panel. We understand from interviews with relevant officers that the panel ensured that the system was capable of meeting all legislative requirements prior to purchase.</p> <p>All employees receive digital training in record keeping roles and</p>	No actions suggested.	<p>Information Management Team Leader response:</p> <p>Not required.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>responsibilities. This is completed during the induction process. Guidelines are also available in the document management system.</p> <p>Monitoring is conducted each month to identify Business Units with low registration figures (which suggests incorrect or inadequate use of the document management system). Complete reports are provided to the Management Team on a quarterly basis.</p> <p>The City has a team of officers described as Document Management System Champions. This team has been established to develop and encourage culture change regarding digitisation strategy. All business units have a representative in this working group.</p>		
Ac. Ensuring required information is published on the City's official website	<p>The Governance Team manage website requirements. This includes uploading committee meeting agendas and minutes in accordance with legislative requirements.</p> <p>The list of required documents published by the Department of Local Government, Sport and Cultural Industries (the Department) was used to ensure all required documents are available on the City's website, in accordance with the recent amendments to the Local Government Act 1995 (WA).</p>	No actions suggested.	<p>Manager Governance response:</p> <p>Noted, no action required.</p>
Ad. Review of delegations and authorisations	Delegations, authorisations and expenditures are reviewed annually	No actions suggested.	<p>Manager Governance response:</p> <p>Noted, no action required.</p>
Ae. Ensuring officers act in accordance with their delegations and authorisations.	<p>All officers that have a delegation receive a Notice of Delegation Letter, identifying the relevant delegation number. This letter states that it is the responsibility of the designated employee to understand their delegated powers including limitations, as seen in the Register of Delegated Authority. It also clarifies that it is the responsibility of the designated employee to correctly record their use of delegated authority.</p> <p>Employees with delegation are required to complete primary</p>	No actions suggested.	<p>Manager Governance response:</p> <p>Noted, no action required.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>returns and annual returns.</p> <p>All officers that have an authorisation receive a Certificate of Authority for each financial year (which the officer must sign). The certificate identifies the relevant legislation or regulation and states that functions must be performed in accordance with applicable legislation. The officer will also be provided an identity card, as required by legislation.</p> <p>A member of the Governance Team meets with new officers to discuss their delegations and/or authorisations. The relevant manager and the Governance Team are available to provide clarification at any point if required.</p> <p>Governance induction training will be introduced in September 2021. Delegation induction training will also be included in the induction training program in early 2022.</p> <p>If an officer is temporarily acting in the role of a designated officer, it is the responsibility of the designated officer to identify if they would not like the acting officer to use certain delegated powers.</p>		
Af. Actioning audit findings	All audit actions are compiled in the Audit Actions Register (for more information please see "ARMC compliance with regulation 16(d) of the Local Government (Audit) Regulations 1996 (WA)").	No actions suggested.	Manager Governance response: Noted, no action required.
Ag. Reporting risks and issues to the ARMC and council	<p>Emerging Issues are reported to the ARMC.</p> <p>Additionally, the Corporate Risk Management Register (compiling all medium-high level risks) is reported to council regularly. This register is discussed at Executive Meetings and is mostly completed by the City's directors.</p>	No actions suggested.	Director City Business response: The City is currently further strengthening its approach to risk management through the implementation of a new risk management framework and associated processes / procedures.
Ah. Councillor disclosures of interests	<p>All councillors undertake training regarding disclosures of interest.</p> <p>Disclosures must be made in writing. Forms are available on the Bigtincan Hub and on the desks of all councillors at the beginning</p>	No actions suggested.	Manager Governance response: Noted, no action required.

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>of council meetings.</p> <p>The Governance Team are available to assist if councillors have queries regarding disclosures of interest or gifts. The Governance Team will also raise concerns if they have reason to believe a disclosure may have been missed. All errors will be corrected in the meeting minutes.</p>		
Ai. Issuing parking infringements	<p>The City has a Parking Local Law (2006). This local law has recently undergone a review. The amended local law is currently with the Joint Standing Committee.</p> <p>All Parking Officers must complete training on the local law during the induction process. The Senior Parking Officer will then conduct on-the-job training with new Parking Officers.</p> <p>If Parking Officers encounter an unusual situation, they will call the Team Leader Parking for clarification. If required, the Team Leader Parking will consult with the City's solicitors.</p> <p>The process for issuing an infringement is essentially a checklist in itself. The software used is a third party system operating from Melbourne. Each step must be completed/accepted before proceeding to the next. The system includes all possible clauses in accordance with the local law. It is possible for an incorrect clause to be selected. According to the City's policy, three photos must be captured as evidence (the number plate, the infringement itself and the signage). Infringements download onto City server.</p> <p>Infringements from the last five years are stored on the City's database. Older infringements are stored on another database.</p>	No actions suggested.	<p>Manager Field Services response:</p> <p>Not required.</p>
Aj. Leisure Centre Safety Practices	<p>Practice is dictated by relevant Australian Standards. The Leisure Centre Safety Plans are available onsite.</p> <p>The City works closely with the Royal Life Saving Society, who provide guidelines for safe pool practices. Every three years the Royal Life Saving Society conducts an audit of the Leisure Centre and drafts a Risk Assessment and Safety Improvement Plan. This is funded by LGIS. The document includes references to the Code of Practice and relevant Regulations, for example the Health</p>	No actions suggested.	<p>Manager Community Development response:</p> <p>Not required.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>(Public Buildings) Regulations 1992 (WA), the Health (Aquatic Facilities) Regulations 2007 (WA), the Dangerous Goods Safety (Storage and Handling of Non-explosives) Regulations 2007 (WA) and the Occupational Safety and Health Regulations 1996 (WA).</p> <p>The City's Emergency Control Committee promotes local emergency planning and preparedness. The Leisure Centre has an Emergency Response Plan. Emergency Evacuation Drills are conducted annually. A third party is engaged to assist in order to receive an independent assessment.</p> <p>Leisure Centre employees undergo regular workplace health and safety training and first aid. For example, regular refresher training for self-contained breathing apparatus is conducted by an external agency.</p> <p>Various safety checks are regularly conducted, in some cases on a daily basis. This includes checking regulator cartridges and testing the defibrillator. We understand these routine checks are guided by checklists (completed and recorded).</p> <p>Safety equipment, including the defibrillator, are contracted to be serviced every six months.</p>		
Ak. Ensuring leisure centre prices are aligned with the Schedule of Fees and Charges	<p>New fees and charges are usually advertised in July (including leisure centre notice boards) and implemented on 1 August.</p> <p>The response to updated fees and charges are digitised i.e. the sale software is updated with new prices.</p>	No actions suggested.	<p>Manager Community Development response:</p> <p>Not required.</p>
Al. Managing lockdowns	<p>We were informed by employees of the City that the City has a Business Continuity Plan for pandemics and was able to efficiently respond to lockdown scenarios by requesting all non-essential staff to work from home. Staff are now familiar with working from home practices and are instructed to take their devices home each day in preparation for potential future "lock-down" events.</p> <p>We understand from the relevant officers that procedures are in</p>	No actions suggested.	<p>Manager People and Culture response:</p> <p>Not required.</p>

Key

Action proposed (12)
Action complete or no further action to be undertaken (14)
No suggested action – no action required (12)

	<p>place to support essential staff, where reasonable.</p> <p>Essential services are managed to ensure continuity of services. For instance, waste removal services continued during lockdowns on a three-week shift pattern. Shift teams were isolated from each other to reduce the possibility of shift workers contracting the virus from one another.</p> <p>New programs were commenced during lockdown to support vulnerable people. For example, the Neighbour to Neighbour program provided a network for residents to assist those in need by completing basic tasks for them in accordance with lockdown requirements (e.g. grocery shopping, collecting medication, dog walking, etc.).</p> <p>Some programs are now being run completely online to avoid disruptions. For example, the Art Market is now operating online.</p> <p>Debriefs are conducted after each lockdown to identify issues and areas for improvement.</p>		
--	---	--	--

ARMC2202-4 WALYALUP CIVIC CENTRE – PROJECT UPDATE

ATTACHMENT 1 - Risk Register Summary (February)

ITEM	RISK / OPPORTUNITY EVENT	RISK / ISSUE	DATE RAISED	INITIAL RISK				MITIGATION STRATEGY	OWNER	RESPONSIBLE	TARGET DATE	STATUS	RESIDUAL RISK				FURTHER NOTES / OUTCOMES (red text = updated from previous register)	EVIDENCE
				Consequence (1,2,3,4,5)	Unlikelihood (1,2,3,4,5)	Assessment	Initial Risk Rating (E,H,M,L)						Control Efficiency (1,2,3,4,5)	Percentage Reduction	Assessment	Residual Risk (E,H,M,L)		
MAY / JUNE 2021 - LIQUIDATION EVENT (LE) - Summary Level Only																		
BUILDING / PHYSICAL																		
1	Building (Unmanned) Security and protection	Site unmanaged - building and materials left unsecure	24-May-21	4	4	16	E	Increased security on site. Also added additional CCTV and requested daily site presence.	CoF	PD, PT	25-May-21	closed	1	80%	3.2	L	Normal site management / security arrangements implemented, includes motion detection and temp security cameras.	Ongoing site security precautions in place - process & procedures documented as part of the site management plan.
2	Work Stoppage	Works abruptly stopped / Contractors left site - uncertainty on ownership materials and equipment	24-May-21	3	4	12	E	CoF actively engaged Lawyers and liaised with EY. CoF assessed progress documentation / materials paid for, outstanding / in transit and on site. City to take possession of site.	CoF	PD, PT	asap	closed	1	80%	2.4	L	CoF formally taken possession of site 21 May 21, new contractor CDI Group taken possion of site as of 19 July 21.	Works progressing.
3	Site Impacts / adjacent works	Site overlaps and interfaces with MG group - Newman Court / William St and High Street works - ongoing	24-May-21	2	3	6	M	CoF liaised with MG and agreed work site boundaries and interim management arrangements.	CoF	PD, PT	25-May-21	closed	1	80%	1.2	L	Site boundaries defined and overlaps / control measures agreed / actively monitored by Project Team.	Updated Site Management Plan / project meeting minutes.
4	Contractors - work continuity	Key personnel and contractors left mid-works, project progress, detail and knowledge unavailable.	24-May-21	4	4	16	E	CoF actively engaged with the Pindan project team, all relevant documents collated from site - including contractor deeds / T&Cs, warranties and progress claims.	CoF	PD, PT	28-May-21	closed	1	80%	3.2	L	Key personnel secured / retained by Project CoF.	Project team on site - leading works.
5	Contractors - work continuity	Contractors move to other works - CoF unable to re-engage or face delays or cost increases / amended T&Cs.	24-May-21	4	4	16	E	CoF immediately employed the main Pindan project team, the team actively engaged with contractors and maintained dialogue. Follow up correspondence from the City and a meeting provided to provide assurance and CoF commitment to complete works.	CoF	PD, PT	15-Jun-21	closed	1	80%	3.2	L	All deeds / T&Cs, warranties log of claims secured.	All contractors re-engaged and active where remaining works.
6	Building open to weather damage	Building open with key elevations not complete - facade not installed.	25-May-21	4	5	20	E	Officers seek Council approval to engage project subcontractors as sole suppliers via novation deeds and individual agreements and tender for a Managing Contractor to progress the works asap. NOTE: Some early works commenced (as PUBLIC WORKS) to address immediate building risk.	CoF	PD, PT	31-Aug-21	closed	1	90%	2	L	Building now wind and weather tight.	Roofing finished, all key windows and facades installed and pressure tested.
HEALTH & SAFETY																		
7	OSH Management - daily	No immediate or interim site arrangements in place	24-May-21	4	4	16	E	Site unoccupied - interim management arrangements and security implemented until project team established and onsite with updated / agreed plan.	CoF	PD, OSH TL, PT	1-Nov-21	closed	1	80%	3.2	L	PCOccupancy Certificate achieved - Building occupied.	Building Managed through FM, service leads and Operational Management plans.
8	Health & Safety Management Plan	No formal / adopted H&S Management in place	24-May-21	4	4	16	E	CoF and project Team reviewed the Pindan OSH management plan and updated / integrated with CoF requirements. Consultant site / plan review conducted. Worksite inspection (routine) taken place - no issues or concerns raised. Documents reviewed by CoF OSH Team Leader.	CoF	PD, OSH TL, PT	16-Jun-21	closed	1	80%	3.2	L	see above.	Project OSH Management Plan.
FINANCIAL																		
9	Insurance	Works Insurance covered as part of the Pindan contracted work. Cover ceased at liquidation. Building uninsured.	24-May-21	5	4	20	E	Agreement reached with EY (via LGIS) that the existing insurance provisions shall remain in place until 30 June 21. CoF liaising with LGIS and brokers 'Chase' to establish appropriate new cover for the remainder of works in progress. FY 21/22.	CoF	PD, PT	30-Jun-21	closed	1	90%	2	L	Project Works Cover / Building and 3rd party cover, works compensation in place.	Policies in place - CDI policies (copies) provided.
10	Project Bank Account (PBA)	Administrators (EY) frozen the PBA - CoF / Contractors access to funds and payments, retention monies and April payment pending.	24-May-21	4	3	12	E	CoF liaising with EY and CBA re lifting the suspension of the PBA. All contractors paid to date - March. Retention monies held in the PBA. April claim certified but not processed through the PBA for payment - only \$200 allocated to Pindan in the April claim... CoF to consider direct payment to contractors for April.	CoF	PD, PT	31-Aug-21	closed	1	80%	2.4	L	PBA suspension lifted by EY. CoF now have access to main account and the retention account.	Accounts accessed and monitored.
11	Project Budgets / Contingencies	CoF Budget remains against the contracted works (@ circa \$3.6m) remaining contingency available (@ circa \$500k). Unsure of actual cost to complete.	24-May-21	4	4	16	E	Project team reviewing works and costs to complete. Full cost review exercise underway. All cost implications to be held against the insurance bonds.	CoF	PD, PT	1-Nov-21	ongoing	1	80%	3.2	L	Cost to complete actively monitored through project team QS and project Managers - Admin team dedicated to tracking costs and commitments (inc weekly review). Current estimated construction outturn cost is \$46,807,128 (ex GST). NB. Bonds cashed @ \$3.6m.	TechOne - WBS in place with WO's for specific post liquidation events. All costs/commitments and contractor payments tracked and certified. Remaining draw-down schedule produced - final accounts being collected and reviewed.
12	Bonds	Bond security, access and ability to draw - Bonds are in place for - performance @ 5% contract value, facade bonds @ \$1.6m for material supply. Other for significant materials works (Lifts)?	24-May-21	4	3	12	E	CoF immediately moved to cash in all relevant insurance bonds to protect against works performance and materials.	CoF	PD, PT	28-May-21	closed	1	80%	2.4	L	All bonds secured by the CoF 28-May-21	payment remittance received for all performance and Material (facade) bonds.
13	Increased Contractor costs	The hold in work activity and delays resulting from the LE may lead to contractors / suppliers applying additional charges (eg, storage or mob/de-mob).	24-May-21	3	4	12	E	Active liaison with contractors ongoing. Novation deeds have secured - the majority of costs under existing Pindan T&Cs, (batch one contractors). Batch two are unsecure agreements - see below.	CoF	PD, PT	1-Nov-21	closed	1	80%	2.4	L	The project team have secured all contractors to complete the contracted works (on original Pindan costs), continuity and price security.	TechOne - New WBS in place with WO's for specific post liquidation events. All costs/commitments and contractor payments tracked and certified.
14	Increased Contractor costs	The LE with Pindan may break the existing contract / T&Cs with batch two subcontractors / suppliers - the CoF may face delays or revised costs from contractors with new terms.	24-May-21	3	3	9	H	Active liaison with contractors ongoing. Batch two areas are low risk - mainly supply and rates for agreed works.	CoF	PD, PT	1-Nov-21	closed	1	80%	1.8	L	As above - all Batch 2 contractors are secured and active.	TechOne - New WBS in place with WO's for specific post liquidation events. All costs/commitments and contractor payments tracked and certified.
15	NEW: COVID Supply chain delays, labour shortages.	Suppliers and contractors costs are increasing and works / delivery timeframes are increasing. This is putting pressure on work program and PC delivery.	13-Oct-21	2	3	6	M	Project team actively liaising with contractors and suppliers and rechecking programs / delivery lead times etc.	CoF	PD, PT	31-Mar-22	ongoing	2	60%	2.4	L	Regular proactive liaison underway across all areas. Some delays are occurring for contractor availability for defect rectification. (minor items).	CDI Group Maintenance (and defects) system capturing all issues / potential outstanding works - retention/payment held against completion of all works.
16	Prolongation Costs	The LE will prolong the works on site, this will lengthen consultant engagement and extend fees on a pro-rata basis.	24-May-21	3	4	12	E	The CoF have engaged with the relevant consultants re prolongation costs. These are agreed to be applied on a pro-tata basis but will reflect activity / work level fluctuations.	CoF	PD, PT	1-Nov-21	closed	1	80%	2.4	L	Costs locked against PC - achieved November 2021.	TechOne - New WBS in place with WO's for specific post liquidation events. All costs/commitments and contractor payments tracked and certified.
17	Tenancy delays	Disruption and delays may impact availability of tenancy space and or may jeopardise executing / attracting new tenants.	24-May-21	3	3	9	H	CoF are actively liaising with the prospective tenants. These areas of the building will be prioritised for clearing and access to minimise potential tenancy delay.	CoF	PD, PT	31-Mar-22	ongoing	2	60%	3.6	L	Area 3 - CoF Visitor Centre - opened January 2022. Newman Court tenancies agreed - fit out staged in consultation with tenants. Other areas under negotiation/seeking proposals. (Separate fit-out budget for tenancies).	No additional project costs or provisions (relating to LE) included.
RESOURCING																		
18	CoF Staff availability	CoF staff and internal workforce planning had not anticipated active delivery involvement in the project beyond August 21.	24-May-21	2	3	6	M	Infrastructure Managers have reviewed workload and updated their respective worlforce planning (and FY works programming).	CoF	PD, PT	1-Nov-21	closed	1	80%	1.2	L	Construction works complete - defects managed through FM.	Defects logged and managed through FM and CDI procure' system.
19	Project Team / knowledge and experience	Loss of the site project team (Pindan) will create a significant void in project knowledge and contractor relationship management / continuity. Significant risks, costs and delays inevitable.	24-May-21	4	5	20	E	CoF to immediately move to engage the key Pindan site project team. Risks remains in terms of staff retention - construction market running very hot - numerous approaches for staff occurring.	CoF	PD, PT	1-Nov-21	closed	1	80%	1	L	Construction works complete - project team finished.	FM team now manage the building (in-house).
20	Consultant Support (Lead Architect and Specialists)	Consultants have not forecast active delivery involvement beyond July 21 - resourcing and availability could be a challenge.	24-May-21	2	3	6	M	CoF liaised with all consultants on availability / resourcing going forward.	CoF	PD, PT	8-Jun-21	closed	1	80%	1.2	L	resource availability confirmed.	Consultants active and engaged.
REPUTATIONAL / COMMUNICATIONS																		
21	Community concern and or negative publicity over LE - especially potential cost blow-outs and delays.	The halt in works could extend or become more damaging, the could increase costs and management risk.	24-May-21	3	4	12	E	CoF commits team to provide status updates. Timing and link to key events important.	CoF	PD, PT	1-Nov-21	closed	1	80%	2.4	L	Project updated via the Audit and Risk Committee. Building opening events have successfully taken place. Comms plan and updates to continue - ongoing activation program in place.	Updates and Reports.
22	CoF staffing - Morale	The delay (and any poor publicity) may have a negative impact on staff morale and change readiness.	24-May-21	2	3	6	M	Staff updates provided, Change champion tour arranged to highlight the advance stage of the internal works.	CoF	PD, PT	1-Nov-21	closed	1	80%	1.2	L	Building occupied - cultural change activities remain through P&C.	COFI updates / staff feedback is very positive.
TIMING / PROGRAM																		
23	Agreed PC (contractually) was 12 March 2021. The revised program PC from Pindan (not accepted) was reset at 12 July 21 immediately prior to the LE.	The LE will create a delay in work program. This may become more significantly prolonged if certain actions and safeguards are not enacted quickly.	24-May-21	4	4	16	E	Risk mitigations and actions for the project team are focussed on minimising time delays. The engagement of the project team and the early Council approval for sole source supplier arrangements have significantly reduced this risk as it has allowed some works to progress, also the necessary works for weather protection are greatly assisting progress. New Managing Contractor onboard and driving quality and completion.	CoF	PD, PT	22-Nov-21	closed	1	80%	3.2	L	PC / Occupancy achieved October 2021 Service offering / building opened 22 November.	Construction team meeting have stopped. Facilities Team Meeting continue from an operational perspective.
LEGACY / FUTURE ISSUES																		
24	Handover - Liabilities and warranties may be jeopardised as a result of the LE.	Contractors provide warranties for materials and services, this is a significant exercise as part of the handover process. There is a risk of loss of cover / warranty provision.	24-May-21	4	4	16	E	Warranties and insurances are mainly covered off through the provisions of the novation deeds. Contract arrangements (without novation deeds) - agreed to be included as part of the remaining works and payments.	CoF	PD, PT	1-Nov-21	closed	1	80%	3.2	L	Contract arrangements (without novation deeds) inc all guarantees and warranties are established and agreed as included as part of the remaining works and payments. Operation & Maintenance (OM) Manuals are developed, and held by Facilities Management. A target budget allocation is to be retained and held in anticipation of any potential main building / issues / works / defects - via Pindan or self delivered, that are not covered by subcontractor works. Forecast against years 1-6.	Deeds and warranties. Operation & Maintenance (OM) Manuals.

25	Snagging process and commissioning / system balancing and BMS.	At PC the building will undergo an intensive snagging audit, there may be issues with allocation and coordinating returns and rectification. Similarly with commissioning if there are faults or performance issues.	24-May-21	3	3	9	H	Consultants have already been informed to prepare for the PC / snagging process - contractors identified where critical for PC. CDI Group have provided a dedicated process / system for snagging and fault rectifications - feeding future maintenance planning.	CoF	PD, PT.	1-Dec-21	closed	1	80%	1.8	L	Plant initiation and commissioning has been completed.	Commissioning and status reports.
26	Defects Liability Period, longer term defects.	Once the building reaches PC there is a 12 defects period and no main contractor to assess, coordinate / facilitate returns and rectification.	24-May-21	3	3	9	H	The contract for the MC includes provision to supervise DLP. The CDI Group have agreed a 12 month (DLP) maintenance support service as part of the contract.	CoF	PD, PT.	31 Nov 2022	ongoing	1	80%	1.8	L	Budgets and retentions are retained to address the outstanding defects - CDI Group are supporting the FM through the closure process.	Contract Agreement. CDI - procure system.

ATTACHMENT 2 - Green Mark –Incident report 26 November 2021

RECORD OF EVENTS

OVERFLOW OF FIRE TANKS

FOR

KING SQUARE CIVIC CENTRE & LIBRARY

Event Date: 25-NOV-2021
Record Date: 26-NOV-2021

Recorded By: Dan Dainard
Revision: 0

CREATED FOR



CREATED BY





Overflow of Fire Tanks for
King Square Civic Centre & Library
Revision 0

**GREEN MARK
ENGINEERING**





ON-SITE REVIEW NOTES

Item No.	Note	Supporting Information
SUMMARY	<p>On the 25th of November the City of Fremantle requested attendance to site to review an incident that occurred that day. Many of the facilities lower levels had been flooded from overflow out of the Fire Tanks. The root cause appears to be debris caught in the fill valves diaphragm which restricted the valve from closing leading to overflow from the tank. Although the overflow was reasonably controlled by the tank, exiting the tank through the overflow line, the amount of water was too much for the rooms and facilities drainage systems to manage resulting in the fire pump room filling up with over 1 meter depth of water.</p> <p>This report is intended to record the information presented and collected during the on-site review.</p>	
001	The flow from the inlet valve used to fill the tank is designed to be approximately 31lps. It has not been confirmed if the inlet valve has been restricted to limit it to 31lps or if it provides more flow then required.	
002	The drain line from the fire pump and tank room appears to be the same size as the overflow line but is not expected to be capable of carrying the same quantity of water due to inlet, venting, and other restrictions.	
003	The sump pump installed is capable of pumping 13lps.	
004	The inlet valve was tested and dismantled by the wet fire contractors and a piece of debris was found which is believed to be the cause of the issue.	

Overflow of Fire Tanks for
King Square Civic Centre & Library
Revision 0

**GREEN MARK
ENGINEERING**



Item No.	Note	Supporting Information																																							
005	<p>A photograph of the diaphragm was taken after the debris was removed. Pic 1 is side of the diaphragm connected to the valve housing. Pic 2 is the side connected to the end plate; an imprint from the debris can be seen in the picture.</p>	 																																							
006	<p>The following alarms were found within the Building Management Systems event log.</p> <table border="1"> <thead> <tr> <th>Date/Time</th> <th>Alarm Description</th> <th>Action/Status</th> </tr> </thead> <tbody> <tr> <td>25/11/2021 12:08:51 PM</td> <td>Fire Alarm (MSB-L)</td> <td>General fire alarm has cleared. Associated equip.</td> </tr> <tr> <td>25/11/2021 12:08:53 PM</td> <td>Fire Alarm (MSB-L)</td> <td>General fire alarm has cleared. Associated equip.</td> </tr> <tr> <td>25/11/2021 12:08:53 PM</td> <td>Fire Alarm (MSB-L)</td> <td>General fire alarm has cleared. Associated equip.</td> </tr> <tr> <td>25/11/2021 12:08:53 PM</td> <td>Stormwater Pump Station 2 (North Courtyard) LG Alarm</td> <td>The stormwater pump controller is indicating a p</td> </tr> <tr> <td>25/11/2021 12:09:40 AM</td> <td>Stormwater Pump Station 3 (North Courtyard) LG Alarm</td> <td>The stormwater pump controller is indicating a p</td> </tr> <tr> <td>25/11/2021 12:09:40 AM</td> <td>Stormwater Pump Station 1 (New Linquette) LG Alarm</td> <td>All pump faults have cleared. More information o</td> </tr> <tr> <td>25/11/2021 12:13:46 AM</td> <td>VOMQ Elevator Trip/Fault</td> <td>Pump previously failed to start.</td> </tr> <tr> <td>25/11/2021 8:00:11 AM</td> <td>L/G Transformer Leak Detected</td> <td>Water has been detected on the floor near this Al</td> </tr> <tr> <td>25/11/2021 8:00:51 AM</td> <td>L/G Plastron Leak Detected near B10-LG-W</td> <td>Water has been detected on the floor near this Al</td> </tr> <tr> <td>25/11/2021 8:07:40 AM</td> <td>L/G Plastron Leak Detected near B10-LG-F</td> <td>Water has been detected on the floor near this Al</td> </tr> <tr> <td>25/11/2021 8:07:39 AM</td> <td>L/G Plastron Leak Detected near B10-LG-E</td> <td>Water has been detected on the floor near this Al</td> </tr> <tr> <td>25/11/2021 8:07:07 AM</td> <td>L/G Plastron Leak Detected near B10-LG-C</td> <td>Water has been detected on the floor near this Al</td> </tr> </tbody> </table>	Date/Time	Alarm Description	Action/Status	25/11/2021 12:08:51 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.	25/11/2021 12:08:53 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.	25/11/2021 12:08:53 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.	25/11/2021 12:08:53 PM	Stormwater Pump Station 2 (North Courtyard) LG Alarm	The stormwater pump controller is indicating a p	25/11/2021 12:09:40 AM	Stormwater Pump Station 3 (North Courtyard) LG Alarm	The stormwater pump controller is indicating a p	25/11/2021 12:09:40 AM	Stormwater Pump Station 1 (New Linquette) LG Alarm	All pump faults have cleared. More information o	25/11/2021 12:13:46 AM	VOMQ Elevator Trip/Fault	Pump previously failed to start.	25/11/2021 8:00:11 AM	L/G Transformer Leak Detected	Water has been detected on the floor near this Al	25/11/2021 8:00:51 AM	L/G Plastron Leak Detected near B10-LG-W	Water has been detected on the floor near this Al	25/11/2021 8:07:40 AM	L/G Plastron Leak Detected near B10-LG-F	Water has been detected on the floor near this Al	25/11/2021 8:07:39 AM	L/G Plastron Leak Detected near B10-LG-E	Water has been detected on the floor near this Al	25/11/2021 8:07:07 AM	L/G Plastron Leak Detected near B10-LG-C	Water has been detected on the floor near this Al	
Date/Time	Alarm Description	Action/Status																																							
25/11/2021 12:08:51 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.																																							
25/11/2021 12:08:53 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.																																							
25/11/2021 12:08:53 PM	Fire Alarm (MSB-L)	General fire alarm has cleared. Associated equip.																																							
25/11/2021 12:08:53 PM	Stormwater Pump Station 2 (North Courtyard) LG Alarm	The stormwater pump controller is indicating a p																																							
25/11/2021 12:09:40 AM	Stormwater Pump Station 3 (North Courtyard) LG Alarm	The stormwater pump controller is indicating a p																																							
25/11/2021 12:09:40 AM	Stormwater Pump Station 1 (New Linquette) LG Alarm	All pump faults have cleared. More information o																																							
25/11/2021 12:13:46 AM	VOMQ Elevator Trip/Fault	Pump previously failed to start.																																							
25/11/2021 8:00:11 AM	L/G Transformer Leak Detected	Water has been detected on the floor near this Al																																							
25/11/2021 8:00:51 AM	L/G Plastron Leak Detected near B10-LG-W	Water has been detected on the floor near this Al																																							
25/11/2021 8:07:40 AM	L/G Plastron Leak Detected near B10-LG-F	Water has been detected on the floor near this Al																																							
25/11/2021 8:07:39 AM	L/G Plastron Leak Detected near B10-LG-E	Water has been detected on the floor near this Al																																							
25/11/2021 8:07:07 AM	L/G Plastron Leak Detected near B10-LG-C	Water has been detected on the floor near this Al																																							
007	<p>An alarm was received by the monitoring team indicating a fire pump had run. The wet fire contractor advised that the pumps were not found running when they arrived.</p>																																								

Overflow of Fire Tanks for
King Square Civic Centre & Library
Revision 0

GREEN MARK
ENGINEERING



Item No.	Note	Supporting Information
008	The photo to the right shows the fire pump room door from the outside while the room was flooded.	

-END OF RECORD-

If any of the items recorded are believed to have been misinterpreted, please advise me and the record can be reviewed, revised, and reissued if required.

Please feel free to reach out if you would like to discuss the outcomes further.

Sincerely,

Dan Dainard

Commissioning Manager | Director

MIEAust CPEng ME • LEED GA • M.AIRAH • M.CIBSE • M.ASHRAE

Green Mark Engineering

ABN: 36 644 650 162

Mobile: 0499977752

Email: ddainard@greenmarkeng.com.au

GREEN MARK
ENGINEERING



ARMC2202-6 PURCHASING POLICY EXEMPTIONS DECEMBER 2021

ATTACHMENT 1 - Purchasing Policy Exemption Details November 2021 to December 2021

Approved Exemptions - November to December 2021						
No.	Supplier	Reason for Exemption	Length of Contract	Value	Date Approved	Approving Authority
Artist Exemptions						
1	Rachel Riggs	Community engagement and puppet making facilitation. The Artist possess substantial previous experience in puppet making at scale and aboriginal engagement.	One-Off	\$ 3,000.00	8-Nov-21	Director Community Development
2	Midrar (Walley Family)	Traditional Nyoongar dance performance. The Artist possess Extensive experience in public performance of Nyoongar traditional dance, song and storytelling	One-Off	\$ 2,000.00	11-Nov-21	Director Community Development
3	Wadambuah Dance Group	Traditional Nyoongar dance performance. Highly experienced traditional Nyoongar dancers, have performed multiple times at Wardarnj	One-Off	\$ 2,000.00	11-Nov-21	Director Community Development
4	Kwarbah Djookian	Traditional Nyoongar dance performance. Highly experienced dance troupe, have performed multiple times at Wardarnj	One-Off	\$ 2,000.00	11-Nov-21	Director Community Development
5	Grace Barbe's Creole All Stars	All star band featuring multiple performers designed to coincide with IOTA exhibition and program. The Artist possess significant performances experience and a well established reputation	One-Off	\$ 2,500.00	11-Nov-21	Director Community Development
6	Sandy McKendrick	Sandy has decades worth of experience working with kids and community groups to facilitate workshops, she has worked with us successfully before on festival projects, with CANWA exhibitions and other projects.	One-Off	\$ 5,220.00	3-Dec-21	Director Community Development
7	Esther McDowell Yabini Kickett	The Artist (curator) is being commissioned to curate an exhibition in Kathleen O'Connor Gallery and adjacent North Hall Gallery (if required) at FAC, to be presented by FAC alongside the Revealed Emerging Aboriginal Art showcase. Esther has been selected by Glenn Isager-Pilkington on basis of specialist knowledge in Nyoongar visual arts and culture. curator has a proven track record in the industry and expertise.	One-Off	\$ 4,125.00	3-Dec-21	Director Community Development
8	Michael Alvarez	The artist Michael Alvarez will be providing 3 specialist spinning flower workshops during the course of the hundreds and thousands exhibition for kids. in keeping with sustainability messaging in the exhibition Michael has been commissioned to create custom workshops for kids to create their very own spinning flower from recycled materials. Michael has over 4 decades experience working with community groups and kids and is a world renowned kite specialist.	One-Off	\$ 4,000.00	3-Dec-21	Director Community Development
9	Soul Alphabet	The artist/group will be producing an exhibition and public program series as part of the Perth Festival 2022. the offering includes a suite of new photographic works, an in conversation series and select musical offerings. Soul Alphabet has been proposed by the Perth Festival and has been engaged by our director Anna Reece on the basis that they represent a diverse and engaged community of CALD artists based in the Perth region made up of African Diaspora artists. they are an organisation/group with highly specialised knowledge working in the arts community in Perth	One-Off	\$ 7,000.00	6-Dec-21	Director Community Development
Original Equipment Manufacturer (OEM)						
10	Schindler Lifts Australia Pty Ltd	Within days of the practical completion of construction of Walyalup CC we had a significant flood from the fire booster system. Urgent works are required to make the building safe, the insurer (LGIS) have attended site and advised that the City's progress in making the building safe, drying out the lower ground floor and getting the opening the site again as soon as practicably possible was the correct action. Verbal instruction was given to Schindler to make the lifts safe and assess the damage. A purchase order is required to cover these emergency works and also intended to undertake remedial works should they be approved by CoF staff. There is no budget currently available however it is assumed that the costs will be covered by the City's insurer	One-Off	\$ 25,000.00	2-Dec-21	Director Infrastructure
11	Wesco Electrics (1966) Pty Ltd	Within days of the practical completion of construction of Walyalup CC we had a significant flood from the fire booster system. Urgent works are required to make the building safe, the insurer (LGIS) have attended site and advised that the City's progress in making the building safe, drying out the lower ground floor and getting the opening the site again as soon as practicably possible was the correct action. Verbal instruction was given to Wesco to make the electrical installation safe and assess the damage. A purchase order is required to cover these emergency works and also intended to undertake remedial works should they be approved by CoF staff. There is no budget currently available however it is assumed that the costs will be covered by the City's insurer. this does not include comms wiring work.	One-Off	\$ 20,000.00	2-Dec-21	Director Infrastructure

No.	Supplier	Reason for Exemption	Length of Contract	Value	Date Approved	Approving Authority
12	Mechanical Project Services Pty Ltd	Within days of the practical completion of construction of Walyalup CC we had a significant flood from the fire booster system. Urgent works are required to make the building safe, the insurer (LGIS) have attended site and advised that the City's progress in making the building safe, drying out the lower ground floor and getting the opening the site again as soon as practicably possible was the correct action. Verbal instruction was given to MPS to assess the damage. A purchase order is required to cover these emergency works and also intended to undertake remedial works should they be approved by CoF staff. There is no budget currently available however it is assumed that the costs will be covered by the City's insurer.	One-Off	\$ 5,000.00	2-Dec-21	Director Infrastructure
13	Selected Plumbing Pty Ltd	Within days of the practical completion of construction of Walyalup CC we had a significant flood from the fire booster system. Urgent works are required to make the building safe, the insurer (LGIS) have attended site and advised that the City's progress in making the building safe, drying out the lower ground floor and getting the opening the site again as soon as practicably possible was the correct action. Action on site by the plumber reduced the impact on the building of the incident. A purchase order is required to cover these emergency works and also intended to undertake remedial works should they be approved by CoF staff. There is no budget currently available however it is assumed that the costs will be covered by the City's insurer.	One-Off	\$ 5,000.00	2-Dec-21	Director Infrastructure
14	Firesafe Systems Pty Ltd	Within days of the practical completion of construction of Walyalup CC we had a significant flood from the fire booster system. Urgent works are required to make the building safe, the insurer (LGIS) has attended site and advised that the City's progress in making the building safe, drying out the lower ground floor and getting the opening the site again as soon as practicably possible was the correct action. Attendance of the contractor on the day essential to understand and minimise the effect of the incident and provide support for staff and equipment for drying out the building. A purchase order is required to cover these emergency works and also intended to undertake remedial works should they be approved by CoF staff. There is no budget currently available however it is assumed that the costs will be covered by the City's insurer.	One-Off	\$ 50,000.00	2-Dec-21	Director Infrastructure
15	Steamatic	Cleaning / restoration contractor recommended by LGIS insurance assessor	One-Off	\$ 15,000.00	2-Dec-21	Director Infrastructure
16	OEE trust T/A TA Oasis Electrical	Both the consultant and contractor involved with the design and installation of the natural ventilation louvres are no longer trading. There are no other known contractors in WA that specialise in this equipment which is integral to the HVAC system of WCC.	One-Off	\$ 30,000.00	14-Dec-21	Director Infrastructure
Specialist Consultancy						
17	Friends of Clontarf Hill and Adjacent Bushland Inc.	Council approved a contribution of \$10,000 for Friends of Clontarf Hill and Adjacent Bushland who are a community friends of bushland group active in the restoration of Clontarf Hill remnant bushland that has both environmental and Aboriginal cultural significance. Friends of Clontarf Hill sought the City's support for a woody weed control project for which they were seeking State NRM Office funding for, the City's contribution proposal was submitted for 2021/22 FY budget that Council supported to the value of \$10,000 (budget request was for \$18,500)	6 months	\$ 10,000.00	9-Dec-21	Director Infrastructure
18	Perth Region NRM Inc.	Perth NRM are the nationally recognised regional NRM group for the Perth metropolitan region. The City has a long standing relationship with the Perth NRM Coastal and Marine Program. The program provides a coastal facilitator that supports the City's community engagement and on-ground dune restoration activities at its four beaches. The coastal facilitator works with community groups including schools, community coastcare groups and other NGO's including SERCUL and Conservation Volunteers Australia to deliver revegetation, beach clean-up and caring for our coast awareness activities.	1 Year	\$ 15,000.00	14-Dec-21	Director Infrastructure
Sole Source of Supply						
19	BING Technologies Pty Ltd	Cost analysis current costs with AusPost against projected BING cost. Management team presentation and approval granted.	On-going	fee for service	25-Nov-21	CEO

Total \$ **206,845.00**
 Artists \$ 31,845.00
 OEM \$ 150,000.00
 Specialist Consultancy \$ 25,000.00
 Sole Source \$ -

ARMC2202-8 INFORMATION REPORT – FEBRUARY 2022

STATUS REPORT OF COUNCIL MOTIONS – 1 JULY 2021 TO 30 NOVEMBER 2021

ATTACHMENT 1 - Status Report of Council motions – 1 July 2021 to 30 November 2021

Motions incomplete and ongoing in the reporting period

1 July 2021 to 30 November 2021

The motions included in this section are those decisions that have not yet been fully completed. Progress comments or explanations provided.

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Estimated completion date
Manager Economic Development and Marketing	OCM	FPOL1911-5	NEW LEASE AND SUB LEASE AT 123 BEACH STREET, FREMANTLE	Sub lease has been lodged with Landgate and will be executed shortly.	Ongoing	30/08/2021 30/06/2022
Manager Facilities and Environmental Management	OCM	C1912-4	GREEN WASTE AND BULK WASTE VERGE COLLECTION TENDER REPORT	<p>The first 12 months of FOGO ended late November 2020 following which officers were requested to undertake a review of the verge collection and establish options. Officers have consulted with other Local Authorities and have undertaken public consultation.</p> <p>A presentation of findings is planned for a January Informal Elected Members Meeting.</p>	Ongoing	30/09/2021 31/01/2022
Manager Field Services	OCM	C2005 - 4	ADOPTION OF CITY OF FREMANTLE CAT MANAGEMENT LOCAL LAW 2020 Additional Action: Request a report, considering relevant compliance matters and outlining any recommended policy provisions, be brought back to council after six months of the Cat Management Local Law 2020's commencement.	<p>Due to COVID-19 there has been no budget provision for the enforcement of the Cat Local Law. The budget for the programmed natural areas trapping for foxes, rabbits and cats has also been reduced.</p> <p>The first programmed trapping is scheduled for April 2021, from here the City will gain a basic understanding of the cat issues within the 12 protected reserves and be in a position to request a suitable budget for the enforcement of the Cat Local Law.</p> <p>To date the community safety team has received one request for cat trapping at Cantonment Hill, this was carried out by the team on the 11 February 2021 with no cats captured.</p> <p>A report will be bought to Council after the initial cat trapping in April 2021 when the results of the trapping are known.</p> <p>Advised by Parks that the scheduled trapping for April has been pushed back to May/June due to bad weather. Unable to complete report until the first round of trapping has been completed and the results are known.</p> <p>Cat trapping stats obtained from Parks Team on the 2 September, report to be prepared for February Finance, Policy, Operations and Legislation Committee.</p>	Ongoing	8/12/2021 9/02/2022
Director City Business	OCM	C2006-9	FREMANTLE MARKETS ESSENTIAL WORKS AND LEASE EXTENSION PROPOSAL	Scope and design works have been completed and agreed by all parties. Currently out for tender.	Ongoing	30/09/2021 30/06/2022
Manager Economic Development and Marketing	FPOL	FPOL2101-4	PROPOSED LEASE FOR WALYALUP CIVIC CENTRE – RETAIL SPACE	Draft lease has been completed and is now being reviewed by the proposed lessee. Lessee is developing their fit out design for detailed costing. Lease signing imminent.	Ongoing	31/07/2021 31/01/2022
Manager Economic Development and Marketing	FPOL	FPOL2103-4	PROPOSED LEASE FOR WALYALUP CIVIC CENTRE – RETAIL SPACE	Draft lease has been completed and is now being reviewed by the proposed lessee. Lessee is developing their fit out design for detailed costing. Lease signing imminent.	Ongoing	31/07/2021 31/01/2022

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Estimated completion date
Manager Economic Development and Marketing	OCM	FPOL2102-2	NEW LEASE – BAKPAK FREO PTY LTD – 18 PHILLIMORE STREET, FREMANTLE	Lease under development and subject to Bakpak Freo obtaining planning and building approvals.	Ongoing	31/08/2021 31/01/2022
Manager Strategic Planning	OCM	SPT2103-3	CAT BUS REVIEW 2020/21 AND FINDINGS	Letter to Public Transport Authority (PTA) sent 1/4/21. Further consultation with adjoining local authorities undertaken (including meetings 5/21 and 11/21). Update provided to South Fremantle Precinct Group 13/4/21. Patron survey (visual) conducted 4/21. Intercept survey completed 30/06/2021. Discussions with PTA regarding passenger count utilisation data ongoing. Draft report complete: to be referred back to Council estimated March 2022.	Ongoing	30/11/2021 23/03/2022
Manager Strategic Planning	OCM	FPOL2104-9	THE HEART OF BEACONSFIELD MASTERPLAN – OUTCOMES OF ADVERTISING AND FINAL ADOPTION	My Say page updated, submitters notified, Working Group advised. Plan published on web page. Progression of negotiation over Recreation Facility pending outcomes of Community, Sport & Recreation Plan. Discussions with Lefroy Road Quarry agencies and Development WA regarding coordinated redevelopment options undertaken 8/21 and 10/21 and ongoing. Estimated update to Council March 2022	Ongoing	31/12/2021 23/03/2022
Manager City Design and Projects	SPT	SPT2011-1	KINGS SQUARE INTERPRETATIVE ARTWORK	Artists engaged to develop the concept and work up a detailed cost estimate, to enable the City to seek external funding contributions.	Ongoing	1/01/2022 1/02/2022
Director City Business	OCM	FPOL2103-10	NOTICE OF MOTION BY CR HANNAH FITZHARDING – INVESTIGATION INTO POSSIBLE INTRODUCTION OF FREMANTLE CARD FOR FREMANTLE RATEPAYERS	Officer's will commence an investigation in early April 2021 as per the Council decision.	Ongoing	Unknown
Manager Communications and Events	OCM	FPOL2104-11	ROUND HOUSE CONSERVATION MANAGEMENT PLAN	Round House and Arthur Head continue to form part of the City's advocacy priorities agenda.	In Progress	Ongoing
Manager Parks and Landscapes	OCM	FPOL2104-3	INCREASING CANOPY COVER AND BIODIVERSITY IN THE CITY OF FREMANTLE	Community engagement was undertaken in September 2021 to inform the revision of the Street and Reserve Tree Policy and Verge Garden Policy. A \$10,000 budget was adopted to support the Friends of Clontarf Hill bushland restoration works. Budget was not adopted for the 2021/22 financial year budget to reinstate the verge garden preparation assistance scheme, to provide materials, resources and financial assistance to support Friends of Groups or to support the implementation of green linkage projects.	Ongoing	21/12/2022
Manager Strategic Planning	SPT	SPT2107-1	LOCAL PLANNING POLICY – WASTE MANAGEMENT PLANS FOR NEW DEVELOPMENT - DRAFT	Consultation undertaken 24/9/21 to 22/10/21. 3 submissions received: to be reported back to Council est. 02/22.	Ongoing	23/02/2022
Manager Strategic Planning	SPT	SPT2107-2	REVIEW OF HERITAGE AREAS, DRAFT LOCAL PLANNING POLICY 3.6 'DEVELOPMENT IN HERITAGE AREAS' & REVISIONS LOCAL PLANNING POLICY 1.6 'HERITAGE ASSESMENT'- ADOPT FOR PUBLIC CONSULTATION	Consultation in train 22/10/21 to 26/11/21: to be referred back to Council est 2/22	Ongoing	23/02/2022

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Estimated completion date
Manager People and Culture	OCM	C2107-5	CEO PERFORMANCE REVIEW COMMITTEE REPORT	Review process in place and being actioned. A new committee is elected after the October 21 local government elections.	Ongoing	30/06/2022
Director City Business	FPOL	FPOL2108-6	PROVISION OF MARKETS AT SOUTH BEACH	An Expression of Interest (EOI) tender has been delivered to identify an operator for a summer market at South Beach, or alternate suitable locations within Fremantle. A second EOI was delivered and currently being assessed.	Ongoing	28/02/2022
Manager Information Technology	FPOL	FPOL2108-7	TENDER FOR PC FLEET REPLACEMENT	Tender for PC Fleet Replacement has been awarded to the preferred tenderer, Data#3. The equipment associated with this tender has been ordered and the City's Information Technology team is currently working with the vendor to deliver this project.	Ongoing	31/01/2022
Director City Business	OCM	FPOL2108-12	ANNUAL EVENT SPONSORSHIP	Annual events sponsorship contributions adopted at August Ordinary Meeting of Council. Relevant funding agreements have been developed and are being implemented.	Ongoing	1/07/2024
Director Community Development	FPOL	Petition	<p>Submitted 8 September 2021 (FPOL): Cr Doug Thompson presented a petition with 96 of signatures requesting the following: North Fremantle Club Revival <i>Members of the community have been providing feedback for some time about the lack of access to and difficulty of getting membership of the Bowling Club premises.</i> <i>Following a meeting with the Deputy Mayor and the two Ward Councillors, we understand the Council will be considering the long-term future of the Bowling Club and associated infrastructure in the context of the recreation Community Plan.</i> <i>The community calls on the Council to resolve the current issues with the Bowling Club. We ask the Council to take the premises back into Council care and control for a short period and to put the facility out expressions of interest to community members or organisations with a view to maximising community access and use of the premises.</i></p>	A council report has been prepared for November Council, recommending the CEO establish a Reference Group to progress this matter. The Reference Group will report back to Council in March 2022.	Ongoing	31/03/2022
Director City Business	FPOL	FPOL2109-1	WALYALUP KOORT VISITOR CENTRE AND COMMUNITY HUB CONCEPT	Visitor centre currently being fitted out. Estimated opening in late January early February 2022.	Ongoing	28/02/2022
Manager Strategic Planning	SPT	SPT2109-1	LOCAL PLANNING POLICY 2.2 – SPLIT DENSITY CODES AND ENERGY EFFICIENCY AND SUSTAINABILITY SCHEDULE – REVIEW	Consultation in train 29/10/21 - 22/11/21: to be referred back to Council estimated 1/22	Ongoing	19/01/2022
Manager Asset Management	OCM	FPOL2109-14	FORMER NAVAL STORE BUILDING IMPROVEMENTS	Parking plan to be incorporated in construction management documentation.	Ongoing	1/04/2022
Manager Strategic Planning	OCM	SPT2109-2	LOCAL HERITAGE SURVEY AND HERITAGE LIST - ANNUAL UPDATE 2021	Consultation in train 3/11/21 – 26/11/21: to be referred back to Council est 2/22	Ongoing	23/02/2022
Manager Community Development	OCM	C2110-3	GRANT APPLICATION- LOCAL GOVERNMENT PARTNERSHIP FUND FOR HOMELESSNESS	Application submitted. Notification is expected in early 2022.	Ongoing	30/04/2022
Manager Economic Development and Marketing	OCM	Petition	<p>Submitted 27 October 2021 (OCM) Cr Andrew Sullivan presented a petition from Cheynee Cullen, requesting Harbour Road, South Fremantle become residents only parking. The petition contains 15 signatures.</p>	Officers are assessing the request for resident only parking, taking into account current resident parking arrangements, on and off street parking provision and nearby land uses. A report will be prepared for Council.	Ongoing	31/03/2022

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Estimated completion date
Manager Field Services	OCM	Petition	Submitted 27 October 2021 (OCM) Cr Adin Lang presented a petition from Murray and Sue Slavin requesting consideration for the coordination of a rat eradication plan that targets the area bound by Quarry, Barnett and Shuffrey Street. The petition contains 29 signatures.	On 18 November, the Senior Environmental Health Officer attended and assessed the area bounded by Quarry Street, Shuffrey Street, and Parry Street. No rodent activity or likely rodent harbouring environments were identified during the assessment. Due to the public health and environmental risks associated with chemical rodenticide treatments, the Environmental Health Section does not recommend treatments on public land but invites residents to report properties of concern so that the Section can work with the owners and occupiers of properties to adequately control rodents. On this same date, the Manager Field Services and Senior Environmental Health Officer attended the Arts Centre Precinct Meeting where this matter was discussed and the above information relayed. It was also agreed to send further information on rodent/rat control to those properties in the area, to provide residents with information and advice on rats and their control. Correspondence, with the above information was mailed to residents of Quarry Street, Shuffrey Street and Barnett Street, on 1 December. A report will be provided to Council in the New Year advising of the above	Ongoing	1/12/2021 9/02/2022
Manager Community Development	FPOL	FPOL2111-4	PETITION NORTH FREMANTLE BOWLING CLUB	A council report has been prepared for November Council, recommending the CEO establish a Reference Group to progress this matter. The Reference Group will report back to Council with the EOI criteria in Jan 2022.	Ongoing	31/01/2022
Director City Business	FPOL	FPOL2111-2	WALYALUP KOORT INTERIM PLACE DEVELOPMENT PLAN	Plan adopted and now being implemented. Development of Place Management Plan to commence in 2022.	Ongoing	30/06/2022
Chief Executive Officer	OCM	FPOL2111-12	ELECTED MEMBER MOTION – CR ADIN LANG - AMENDMENT OF CITY OF FREMANTLE CAT MANAGEMENT LOCAL LAW 2020	A proposal to amend the Cat Management Local Law is anticipated to be presented to Council (through FPOL) in February 2022.	Ongoing	9/02/2022
Manager Governance	OCM	ARMC2111-1	APPOINTING AN INDEPENDENT MEMBER TO THE AUDIT AND RISK MANAGEMENT COMMITTEE	The terms of reference for the Audit and Risk Management Committee has been updated to allow for two independent members as per Council resolution, and the Council: Committees and Groups Register 2021-2023 has been updated on the City's website. Interviews with a shortlist of candidates agreed by the CEO, Presiding Member and Deputy Presiding Member of the Committee will take place in December.	Ongoing	28/02/2022
Chief Executive Officer	OCM	ARMC2111-2	CITY OF FREMANTLE RISK MANAGEMENT FRAMEWORK	The Framework has been adopted and will be rolled out through the organisation in the coming months.	Ongoing	30/06/2022
Manager Finance	OCM	ARMC2111-5	OVERDUE DEBTORS REPORT AS AT 31 OCTOBER 2021	Report to be presented to ARMC January 2022 meeting	Ongoing	31/01/2022
Director City Business	OCM	C2111-1	CITY OF FREMANTLE PARKING LOCAL LAW 2021 – ADOPTION OF UNDERTAKINGS FROM THE JOINT STANDING COMMITTEE ON DELEGATED LEGISLATION	Minor amendments being made in consultation with joint standing committee.	Ongoing	31/03/2022

Development application motions completed in the reporting period

1 July 2021 to 30 November 2021

The motions included in this section are those decisions about Development Applications (DA's) that have been completed. They have been grouped for ease of reference only.

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Development Approvals	PC	PC2107-1	QUEEN VICTORIA STREET NO.8 (LOT 310), FREMANTLE – SEVEN STOREY, 50 MULTIPLE DWELLING AND SHOP DEVELOPMENT - (JL DAP001/21)	Responsible Authority Report submitted to the Joint Development Assessment Panel.	Complete	9/07/2021
Manager Development Approvals	PC	PC2107-3	ATTFIELD STREET, NO. 126 (LOT 1), SOUTH FREMANTLE – TWO STOREY ADDITIONS AND ANCILLARY DWELLING TO EXISTING SINGLE HOUSE (TG DA0143/21)	Determination Letter issued.	Complete	12/07/2021
Manager Development Approvals	PC	PC2107-4	BRACKS STREET NO. 22 (LOT 302, 303, 331, 176, 357 AND 358), NORTH FREMANTLE- DEMOLITION OF EXISTING BUILDING AND INCIDENTAL STRUCTURES - (JL DA0178/21)	Determination Letter issued.	Complete	12/07/2021
Manager Development Approvals	PC	PC2107-2	STRANG STREET, NO. 22 (LOT 60), BEACONSFIELD – 25 GROUPED DWELLING DEVELOPMENT – (NB DAP002/21)	Responsible Authority Report submitted to the Joint Development Assessment Panel.	Complete	9/07/2021
Manager Development Approvals	PC	PC2108-1	HERBERT STREET, NO. 11 (LOT 13) NORTH FREMANTLE – ALTERATIONS AND ADDITIONS TO EXISTING SINGLE HOUSE (TG DA0231/21)	Determination Letter Issued	Complete	9/08/2021
Manager Development Approvals	PC	PC2108-2	TUCKFIELD STREET, NO. 7 (LOT 100) FREMANTLE – TWO STOREY ANCILLARY DWELLING ADDITION TO EXISTING SINGLE HOUSE (TG DA0196/20)	Determination Letter Issued	Complete	9/08/2021
Manager Development Approvals	PC	PC2108-3	JOSLIN STREET, NO. 34 (LOT 1668), HILTON – DEMOLITION OF A SINGLE HOUSE – (NB DA0182/21)	Determination Letter Issued	Complete	9/08/2021
Manager Development Approvals	PC	PC2109-1	SOLOMON STREET, NO. 134 (LOT 800), BEACONSFIELD – ANCILLARY DWELLING ADDITION AND ALTERATIONS TO EXISTING SINGLE HOUSE – (NB DA0148/21)	Determination letter issued	Complete	1/09/2021
Manager Development Approvals	PC	PC2109-2	KNUTSFORD STREET, NO.40 (LOT 134), FREMANTLE – SIX GROUPED DWELLINGS – DA0204/21	Determination letter issued	Complete	1/09/2021
Manager Development Approvals	PC	PC2109-3	KNUTSFORD STREET, NO.42 (LOT 131), FREMANTLE – FIVE GROUPED DWELLINGS – DA0205/21	Determination letter issued	Complete	1/09/2021
Manager Development Approvals	PC	PC2110-1	JAMES STREET, NO. 8 (LOT 857), FREMANTLE - SECTION 31 RECONSIDERATION FOR DIGITAL PYLON SIGN (DA0026/21)	Determination letter issued. State Administrative Tribunal appeal withdrawn.	Complete	11/10/2021
Manager Development Approvals	PC	PC2110-2	LOUISA STREET, NO. 1 (LOT 2), SOUTH FREMANTLE – SECOND STOREY ADDITIONS AND ALTERATIONS TO EXISTING DWELLING (TG DA0299/21)	Determination letter issued.	Complete	11/10/2021
Manager Development Approvals	PC	PC2110-3	WESTMEATH STREET, NO. 7 (LOT 23) NORTH FREMANTLE - THREE STOREY SINGLE HOUSE WITH BASEMENT (TG DA0316/21)	Determination letter issued.	Complete	11/10/2021
Manager Development Approvals	PC	PC2110-4	BRACKS STREET NO.22, SHELL STATE BUSINESS CENTRE AND YARD EAST (LOT 290), NORTH FREMANTLE – DEMOLITION OF EXISTING BUILDINGS AND STRUCTURES – (CS DA0347/21)	Determination letter issued.	Complete	11/10/2021
Manager Development Approvals	PC	PC2110-3	MILKY WAY, NO. 1 (LOT 2) BEACONSFIELD - TWO STOREY SINGLE HOUSE (JCL DA0268/21)	Determination letter issued	Complete	9/11/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Development Approvals	PC	PC2110-2	PAGET STREET, NO. 91 (LOT 1179), HILTON – SINGLE STOREY GROUPED DWELLING, SINGLE BEDROOM GROUPED DWELLING, AND MODIFICATIONS TO EXISTING DWELLING (TG DA0394/21)	Determination letter issued	Complete	9/11/2021
Manager Development Approvals	PC	PC2110-4	SOUTH TERRACE, NO. 240 (LOTS 1 AND 2) SOUTH FREMANTLE - CHANGE OF USE TO RESTAURANT – TWO APPLICATIONS (DA0322/21 AND DA0437/21)	Determination letter issued	Complete	15/11/2021
Manager Development Approvals	PC	PC2110-5	EDMUND STREET, NO. 151 (LOT 2) BEACONSFIELD - ADDITIONS (TWO STOREY) TO EXISTING SINGLE HOUSE (TG DA0310/21)	Applicant advised of referral back to administration	Complete	9/11/2021
Manager Development Approvals	PC	PC2110-1	DEFERRED ITEM - MCLAREN STREET, NO. 15 (LOT 25), SOUTH FREMANTLE – ADDITIONS (SINGLE STOREY) TO EXISTING SINGLE HOUSE AND ANCILLARY DWELLING (TG DA0508/20)	Determination letter issued	Complete	15/11/2021
Manager Development Approvals	PC	PC2110-6	LONG STREET, NO. 12B (LOT 889) BEACONSFIELD - TWO STOREY SINGLE HOUSE – (JCL DA0171/21)	Determination letter issued	Complete	9/11/2021

Motions other than Development Applications (DA's) completed in the reporting period

1 July 2021 to 30 November 2021

The motions included in this section are all other decisions made by Council except DA's that have been completed.

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Infrastructure Engineering	OCM	Petition	Submitted 13 November 2019 (FPOL) The Acting Chief Executive Officer, Paul Garbett presented a petition that was submitted to Administration from Doug Fishwick of Tuart Place. The petition is signed by ** requesting the following: *For Fremantle Council to create designated disable parking spaces for paraplegics and anyone else who may need them outside 24 High Street Tuart Place. *	A draft design and cost estimate for an ACROD bay outside 24 High Street (Tuart Place) was completed and has been added to the budget requests for consideration in 2022/23 financial year. The petitioners at Tuart Place have been contacted and updated that the provision of the ACROD bay is subject to project approval and budget adoption (16/12/2021).	Complete	16/12/2021
Manager Customer Experience and Learning	OCM	C2006-10	FREMANTLE VISITOR CENTRE OPERATING MODEL 2020	FPOL2109-1 item seeks approval to use the triangular ground floor tenancy at the Walyalup Civic Centre for the delivery of the current visitor information centre and to notify Sirona Capital the City no longer wishes to enter into an agreement for the delivery of an externally operated visitor centre.	Complete	22/09/2021
Manager Strategic Planning	OCM	Petition	Submitted 23 September 2020 (OCM) Cr Doug Thompson presented a petition with 157 signatures requesting that the whole of the Rule Street Park be designated as a "dog off lead" area, in addition to the pathway along the top of the cliff that is already designated as a "dog off lead" area	Response to petition pending outcome of vesting review (park currently vested with state government, not City). Risk assessment for acceptance of vesting complete as per policy. Department of Planning Lands & Heritage engagement undertaken. Management issues under review. Report submitted to Finance, Policy, Operations & Legislation Committee 11/8/21. Proponent advised of decision.	Complete	8/09/2021
Manager Communications and Events	OCM	FPOL2011-11	ADOPTION OF COMMUNITY STREET ACTIVATION POLICY	Street Activation Policy adopted at November OCM • Online kit developed and training of volunteers underway. • Program has been promoted in FreOH magazine, Freo Weekly and The Herald in the last week. Promoting street party planning to start now for events in warmer months. • 2 x street parties have been held since the policy was adopted • 1 x street party is scheduled for September	Complete	25/11/2021
Manager Asset Management	OCM	C2012-1	FREMANTLE GOLF COURSE CLUBHOUSE AND COMMUNITY CENTRE	Design completed and procurement process underway.	Complete	5/09/2021
Manager Economic Development and Marketing	OCM	C2012-13	SALE OF 7-15 QUARRY STREET, FREMANTLE	At Ordinary Meeting of Council in August 2021, Council decided to defer the sale until after the Local Government election. Proponent withdrew sale as a result of the deferral.	Complete	31/10/2021
Manager Economic Development and Marketing	FPOL	FPOL2101-1	70 PARRY STREET – EXPRESSION OF INTEREST PROCESS	Licence has been executed.	Complete	31/10/2021
Director City Business	OCM	FPOL2101-3	PROPOSED CITY OF FREMANTLE PARKING LOCAL LAW 2021	Local public notice published in the Fremantle Herald on Saturday, 20 February 2021. Public submission period closes 18 April 2021. Notification to Minister Templeman 22 February 2021. As a result of the feedback received during the public consultation period, officers have sought further legal advice on additional minor amendment and are in the process of finalising this. A report was brought to the July Council meeting for consideration and approved. Approval given by joint standing committee. Parking Local Law 2021 to be implemented from the 20 September 2021.	Complete	22/09/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager City Design and Projects	OCM	C2101-1	STAN REILLY SITE – WAPOL REDEVELOPMENT	Letter received from Minister for Lands on 13/9/2021 setting out final Government response to negotiations with the City regarding details / conditions of relinquishment of Management Orders. Reported to Council on 22 September 2021 (see item C2109-1 below).	Complete	22/09/2021
Manager Infrastructure Engineering	OCM	SPT2103-6	NOTICE OF MOTION – REVIEW OF TAXI RANK/LOADING ZONE - FREMANTLE MARKETS – SOUTH TERRACE, FREMANTLE – CR ADIN LANG	See FPOL2108-5	Complete	25/08/2021
Manager Economic Development and Marketing	OCM	FPOL2103-5	KINGS SQUARE PLACE DEVELOPMENT WORKING GROUP	Third meeting complete, final meeting in September.	Complete	31/10/2021
Director Infrastructure	OCM	SC2106-1	WALYALUP CIVIC CENTRE – CONTRACTOR ENGAGEMENT AND PROJECT DELIVERY	Building opened on 22 November.	Complete	22/11/2021
Manager Community Development	FPOL	FPOL2104-1	20 LIVES 20 HOMES PROGRAM	April 2021, Council endorsed financial support towards the evaluation of the 20 Lives 20 Homes project for the third and final year. Procurement finalised.	Complete	31/08/2021
Manager Economic Development and Marketing	FPOL	FPOL2104-14	7-9 QUARRY STREET SALES PROCESS UPDATE	At Ordinary Meeting of Council in August 2021, Council decided to defer the sale until after the Local Government election. Proponent withdrew sale as a result of the deferral.	Complete	31/10/2021
Manager Community Development	FPOL	FPOL2105-2	BLACK SWAN HEALTH FREO STREET DOCTOR FUNDING	July 2021, City officers explored WA State Government election commitment for additional funding towards the Freo Street Doctor. Election commitment of \$3.65M funding over four years distributed between Perth and Fremantle Street Doctor, estimated in the vicinity of \$400K per annum over the four year period, going towards increase service hours. Correspondence from Minister Cook 25/8/21 acknowledging the Freo Street Doctor funding will be administered and managed by the Department of Health.	Complete	31/08/2021
Manager Economic Development and Marketing	FPOL	FPOL2106-10	OFFER TO LEASE– CARRIAGE COFFEE SHOP	Current owner's attempt to sell the business fell through. There will be no lease with the proposed lessee.	Complete	1/09/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Director City Business	AGME	2	That an independent and external investigation of the purchase of 2 Jones street, O'Connor be implemented. This investigation, to be open for public submission, should report on: 1. Any and all actions taken by the City of Fremantle, and elected members in relation to the purchase of 2 Jones Street and whether these actions were in accordance with relevant standards; 2. Any conflicts of interest, should they exist, relating to City of Fremantle staff, and elected members in relation to 2 Jones Street purchase; 3. The due diligence taken by the City prior to the purchase and in particular verification of the tenancy in place at the time of purchase; 4. The total cost of 2 Jones street being all purchase, and call carrying costs from date of purchase to the present; 5. The total income generated by 2 Jones street year on year benchmarked against the City of Fremantle's internal benchmarks (if any) as well as accepted industry benchmarks for such a property; 6. All valuations pre and post purchase; 7. Future options for the site.	The City acted within the parameters of the adopted Business Plan for the purchase of 2 Jones Street O'Connor, in accordance with section 3.59 of the Local Government Act 1995. The City received an independent valuation, advertised the business plan and undertook all necessary due diligence prior to the purchase of the property. The City is confident that the purchase of 2 Jones Street was undertaken within the parameters of the business plan and relevant legislation and do not consider an investigation to be necessary.	Complete	28/07/2021
Director City Business	AGME	4	That the meeting does not accept the accounts as presented, for they cannot be said to give a true and fair view of the City's financial situation, given the controversy surrounding the valuations of the land, buildings and other assets.	Council noted that the meeting did not accept the accounts as presented. No further action required.	Complete	28/07/2021
Manager Governance	AGME	1	The customary order of items in the Ordinary Meeting of Council monthly agenda be changed so that Finance Reports (Monthly Financial Report) become the reports presented first (not last as currently is the practice) in the agenda to facilitate more discussions as a priority and show a better focus and scrutiny by councillors on financial matters than shown to date.	This motion was considered at the Ordinary Meeting of Council held on 28 July 2021 (C2107-1). Council do not support a change to the current order of the agenda layout, therefore no further action is required.	Complete	29/07/2021
Manager Governance	AGME	3	A vote of no confidence in Council.	This motion was considered at the Ordinary Meeting of Council held on 28 July 2021 (C2107-1). There are no statutory powers under which this motion can be enacted by Council, therefore no further action is required.	Complete	29/07/2021
Manager Governance	AGME	5	Fremantle ratepayers, business owners and residents, respectfully instruct the Acting City of Fremantle CEO to undertake a previously proposed independent investigation as outlined by Cr Vujcic's motion (24/2/2021) on behalf of all ratepayers, business owners and residents; and 1. That a full report be presented to Council as soon as possible in review of the Council's own policies and practices of 'good governance' and high standards of compliance that are expected to be followed and enacted at all times, in the best interests of ratepayers, business owners and residents. 2. That the City allocate appropriate resources to ensure that the recommendations of that report are immediately implemented in support of the principles of continuous improvement and 'good governance' of our City of Fremantle.	This motion was considered at the Ordinary Meeting of Council held on 28 July 2021 (C2107-1). Council notes that a previous council decision has determined the outcome of this motion and does not support a revocation of that decision or reconsideration of the motion, therefore no further action is required.	Complete	29/07/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Strategic Planning	AGME	6	1. To abolish 'One Planet' and replace it with Climate Active/NCOS Certification. 2. Authorises the Acting CEO to immediately implement this resolution.	Motion considered at Ordinary Meeting of Council on 28 July 2021 (item C2107-1). Council resolved to "note that the matters raised in this motion will be addressed in an upcoming item to council and that the mover of that motion will be advised when that report is presented." Matter subsequently considered in report submitted to Finance, Policy, Operations & Legislation Committee on FPOL2108-3.	Complete	28/07/2021
Manager Strategic Planning	AGME	7	That funding for heritage should be increased in 2021 budget.	Motion considered at Ordinary Meeting of Council on 28 July 2021 (item C2107-1). Council resolved to "note that the 2021/22 budget adopted by Council on 23 June 2021 included a total allocation of \$3,060,000 for heritage operating and capital projects."	Complete	28/07/2021
Manager City Design and Projects	OCM	FPOL2106-1	SWAN RIVER CROSSING ALIGNMENT	Letter has been sent to Minister for Planning regarding feedback on the four alignment options.	Complete	6/08/2021
Manager Field Services	OCM	Petition	Cr Doug Thompson presented a petition, including 88 signatures, from dog owners requesting an area for small dogs to be off lead at all times in North Fremantle.	Report presented to September Finance, Policy, Operations and Legislation Committee. Petitioner to be advised that limitation of dog exercise to smaller dogs would be very difficult to administer, and Council is not currently prepared to designate Sorrell Park an off-lead exercise area because of the potential conflicts with other recreational users and its proximity to an exercise area, but it will review this decision during its review of the City-wide Community Sport and Recreation Plan.	Complete	30/09/2021
Director Infrastructure	FPOL	FPOL2107-1	TENDER FOR WALYALUP CIVIC CENTRE – MANAGING CONTRACTOR	CDI Group appointed.	Complete	23/07/2021
Manager Facilities and Environmental Management	FPOL	FPOL2107-2	FCC566/21 - CLEANING SERVICES PUBLIC TOILETS	Tender awarded.	Complete	16/07/2021
Manager Asset Management	FPOL	FPOL2107-3	FREMANTLE ARTS CENTRE CONSERVATION MANAGEMENT PLAN	Officers will continue to include in the long term financial plan.	Complete	14/07/2021
Director City Business	OCM	FPOL2106-4	ADOPTION OF THE CITY OF FREMANTLE PARKING LOCAL LAW 2021	A report was brought to the July 2021 Council meeting for consideration and approved. Approval given by joint standing committee. Parking Law effective from 20 September 2021.	Complete	20/09/2021
Manager Communications and Events	OCM	FPOL2107-5	SPARE PARTS PUPPET THEATRE FUNDING REQUEST	Recommendation of \$5,000 grant adopted at July Council meeting. Purchase order raised. Outcome communicated to Spare Parts Theatre Company and Events Management team will process sponsorship agreement.	Complete	30/11/2021
Manager Governance	OCM	FPOL2107-6	UNDERTAKING TO JOINT STANDING COMMITTEE ON DELEGATED LEGISLATION – LOCAL GOVERNMENT PROPERTY AMENDMENT LOCAL LAW 2021	Disposal of inconsequential, surplus or lost property items policy published on the City's website as adopted. JSCDL have been provided with a copy of Council's undertaking and a copy of the policy and a note has been added to the City of Fremantle Property local law advising of the undertaking to review.	Complete	4/08/2021
Manager Strategic Planning	OCM	FPOL2107-3	PLANNING REFORM PHASE 2	Submission lodged 4/8/21.	Complete	4/08/2021
Manager Governance	OCM	C2107-1	ACCEPTANCE OF MINUTES AND CONSIDERATION OF MOTIONS FROM THE ANNUAL GENERAL MEETING OF ELECTORS HELD ON MONDAY 21 JUNE 2021	Minutes and motions were accepted	Complete	29/07/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Strategic Planning	OCM	SPT2107-4	SCHEME AMENDMENT NO. 83 – DELETION OF MANDATORY UPPER FLOOR SETBACK REQUIREMENT FOR BUILDINGS IN THE CITY CENTRE – OUTCOMES OF CONSULTATION	Documents prepared and referred to CEO for execution 5/8/21. Submitters notified & My Say website updated 5/8/21. Documents referred to WAPC 12/8/2021	Complete	12/08/2021
Manager Field Services	OCM	FPOL2107-4	PUBLIC BUILDINGS ASSESSMENT POLICY	Policy uploaded onto the City's website, as adopted.	Complete	20/09/2021
Manager City Design and Projects	FPOL	FPOL2108-2	PUBLIC ROAD NAME – 94 SOUTH TERRACE, FREMANTLE FORMER STAN REILLY SITE.	Following community notice/consultation, the name BULLDOG LANE has been submitted to Landgate, and has been approved.	Complete	23/09/2021
Manager Strategic Planning	FPOL	FPOL2108-3	REVIEW OF SUSTAINABILITY SUBSCRIPTIONS	Direction noted. Subscriptions maintained.	Complete	12/08/2021
Manager Strategic Planning	FPOL	FPOL2108-4	RULE STREET PARK AND CYPRESS HILL, NORTH FREMANTLE	Proponent attended meeting but subsequently formally advised of decision 08/09/2021. Department of Planning, Lands & Heritage updated on progress of vesting request 08/09/2021. Project planning referred to Parks team for inclusion in 22/23 business planning.	Complete	8/09/2021
Manager Infrastructure Engineering	FPOL	FPOL2108-5	REVIEW OF TAXI RANK, LOADING ZONE AND BUS STOPS AT FREMANTLE MARKETS - SOUTH TERRACE, FREMANTLE	As per resolution at August FPOL; 1. Engagement with localised businesses on South Terrace regarding the proposal to relocate the Fremantle Markets bus stop (stop number 16980) to a more central location on South Terrace (Cappuccino Strip) has commenced. 2. Taxi rank on South Terrace removed and relocated to the loading zone and parking on Market Street at the Fremantle Post Office (operational as a taxi zone between the hours of 6pm to 8am with the area being a loading zone and parking (as per existing use) at all other times). 3. Existing loading bay on South Terrace at Fremantle Markets has been removed.	Complete	30/11/2021
Director of Strategic Planning and Projects	OCM	Petition	Submitted 25 August 2021 (OCM) The City has received the following petition from the Save Old Fremantle Bridge Alliance, requesting the following: This petition calls on the WA Government and Main Roads, WA to: 1. Build a new bridge to the WEST (downstream and away from the residents of Northbank). 2. Transform the old Bridge into community infrastructure a la New York's High Line with a very West Australian flavour. 3. Ensure the community is engaged through the entire design and development process through inclusive, transparent and intensive co-design and community engagement. The online petition contains 4,908 signatures, with approximately 324 signatures from the Fremantle area.	Report on petition considered by Council at Ordinary Council Meeting on 22 September 2021 (see item C2109-2 below)	Complete	22/09/2021
Director City Business	OCM	FPOL2108-19	SALE OF 7-9 QUARRY STREET, FREMANTLE	At Ordinary Meeting of Council in August 2021, Council decided to defer the sale until after the Local Government Election. Sale was deferred and the proponent pulled out as a result.	Complete	31/10/2021
Manager Communications and Events	OCM	FPOL2108-18	ELECTED MEMBER MOTION – OLYMPICS FESTIVAL	The 13 Fremantle connected athletes and an additional 5 athletes that studied at Notre Dame were acknowledged across the City's Visit Fremantle channels including a feature acknowledgement in the City's 'This is Fremantle' e-newsletter which has a 16,500 subscriber base and the 'Visit Fremantle' Facebook page which had a reach of 4,000.	Complete	1/09/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Infrastructure Engineering	OCM	FPOL2108-9	HILTON UNDERGROUND POWER PROJECT – CONTRACT VARIATION	Contract variation signed by the CEO. Provision for increased contribution in 2022/23 financial year highlighted through the corporate business planning process.	Complete	1/09/2021
Manager Infrastructure Engineering	OCM	FPOL2108-17	ELECTED MEMBER MOTION – SPEED BUMPS ON SOUTH TERRACE – CR MARUA VUJCIC	Removal of four of the temporary speed cushions at Node 2 (Intersection of Jenkin St) scheduled for October / November 2021. Provision for Node 3 (intersection of Scott St) has been made in 2022/23 financial year through the corporate business planning process (this will be subject to budget approval). Officers to continue to seek opportunities to accelerate the implementation of the program and updates will be published through the City's project webpage.	Complete	25/08/2021
Manager Governance	OCM	FPOL2108-10	ORGANISATIONAL COUNCIL POLICY REVIEW – STRATEGIC PLANNING, GOVERNANCE AND PEOPLE AND CULTURE	Deleted policies removed from the City's website. Remaining policies updated and published on the City's website, as adopted.	Complete	17/09/2021
Manager Finance	OCM	FPOL2108-8	RATES CONCESSION – FREMANTLE PARK SPORT AND COMMUNITY CENTRE	Concession processed against the property in Technology 1.	Complete	8/09/2021
Manager Finance	OCM	FPOL2108-15	BUDGET AMENDMENTS - JULY 2021	Processed in Technology 1	Complete	3/09/2021
Manager Customer Experience and Learning	OCM	FPOL2108-13	MEMORANDUM OF UNDERSTANDING FOR FREMANTLE LIBRARY CONNECT	Council decision Item FPOL2108-13 carried en bloc to Endorse the MOU between City of Fremantle and St Patricks Community Support Centre and approve a budget variation of \$41 000 from the Library budget to fund the annual contribution for Library Connect	Complete	25/08/2021
Manager Field Services	OCM	FPOL2108-11	FINES ENFORCEMENT REGISTRY (FER) WRITE OFFS	Report to Council on the 25 August 2021, fines written off.	Complete	3/09/2021
Manager Finance	OCM	FPOL2108-14	AMENDMENT TO FEES AND CHARGES 2021/2022	Amendment advertised	Complete	18/09/2021
Director Infrastructure	FPOL	FPOL2109-5	SOUTHERN METROPOLITAN REGIONAL COUNCIL (SMRC) – REBRAND	Rebrand enacted.	Complete	30/09/2021
Director City Business	FPOL	FPOL2109-4	OFFER TO LICENSE 70 PARRY STREET, FREMANTLE	Licence has been executed.	Complete	24/12/2021
Manager Facilities and Environmental Management	FPOL	FPOL2109-10	TENDER FCC571/21 – GENERAL BUILDING MAINTENANCE	Contract awarded.	Complete	15/09/2021
Manager Facilities and Environmental Management	FPOL	FPOL2109-11	TENDER FCC580/21 – ELECTRICAL SERVICES GENERAL BUILDINGS	Contract awarded.	Complete	9/09/2021
Manager Facilities and Environmental Management	FPOL	FPOL2109-12	TENDER FCC568/21 CLEANING SERVICES - VARIOUS CITY FACILITIES	Contract awarded.	Complete	15/09/2021
Manager Infrastructure Engineering	FPOL	FPOL2109-13	TENDER WFCC84/21 – SUPPLY OF ASPHALT AND PROFILING	1. Accept the tender for Supply of Asphalt and Profiling (WFCC84/21) at the rates tendered, for Downer EDI Works Pty Ltd for a period of three years. 2. Approve the option to extend the contract for one year, plus two concurrent six-month options, providing Downer EDI Works Pty Ltd have performed satisfactorily in accordance with the terms of the Contract.	Complete	8/09/2021
Manager Infrastructure Engineering	FPOL	FPOL2109-8	TENDER FCC579/21 – ELECTRICAL SERVICES STREET LIGHTING AND PARKS	1. Accept the tender for Electrical Services General Buildings (FCC580/21) at the rates tendered, for Northlake Electrical Services for a period of two years. 2. Approve the option to extend the contract for up to 2 years (one year plus one year) providing Northlake Electrical Services have performed satisfactorily in accordance with the terms of the Contract.	Complete	8/09/2021
Manager Parks and Landscapes	FPOL	FPOL2109-6	PETITION – SMALL DOGS OFF LEAD – SORRELL PARK, NORTH FREMANTLE	Response provided to lead petitioner	Complete	30/09/2021
Manager Parks and Landscapes	FPOL	FPOL2109-9	TENDER FCC574/21 MOWING SERVICES	Contract awarded.	Complete	30/09/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Director of Strategic Planning and Projects	OCM	SPT2109-5	ELECTED MEMBER MOTION – STATE UNDERGROUND POWER PROGRAM – CR SAM WAINWRIGHT	Motion considered and supported at Ordinary Council Meeting on 22 September 2021	Complete	22/09/2021
Director City Business	OCM	FPOL2109-18	MEMORANDUM OF UNDERSTANDING BETWEEN FREMANTLE CHAMBER OF COMMERCE AND THE CITY OF FREMANTLE	Memorandum of Understanding executed.	Complete	24/12/2021
Manager City Design and Projects	OCM	C2109-1	STAN REILLY SITE – RELINQUISHMENT OF MANAGEMENT ORDERS	Report detailing letter received from Minister for Lands on 13/9/2021 setting out final Government response to negotiations with the City regarding details / conditions of relinquishment of Management Orders considered by Council on 22 September 2021. Council resolved to note outcomes of final negotiated settlement with the State Government.	Complete	22/09/2021
Manager City Design and Projects	OCM	C2109-2	PETITION – OLD FREMANTLE BRIDGE	Report on petition considered by Council at Ordinary Council Meeting on 22 September 2021	Complete	22/09/2021
Manager Governance	OCM	FPOL2109-16	ORGANISATIONAL COUNCIL POLICY REVIEW – COMMUNICATIONS AND EVENTS, CUSTOMER EXPERIENCE AND LEARNING, INFORMATION TECHNOLOGY AND ARTS AND CULTURE	Policies updated and published on the City's website, as adopted.	Complete	13/10/2021
Manager Finance	OCM	FPOL2109-17	BUDGET AMENDMENTS - AUGUST 2021	Processed in Technology 1	Complete	6/10/2021
Manager Strategic Planning	OCM	SPT2109-3	AMENDMENT TO DAVIS PARK PRECINCT STRUCTURE PLAN – CORRECTION OF LOCAL & NEIGHBOURHOOD CENTRE NOMENCLATURE	Referred to Western Australian Planning Commission 5/10/21	Complete	5/10/2021
Manager Strategic Planning	OCM	SPT2109-4	REVIEW OF BEACONSFIELD LOCAL PLANNING POLICIES	Revocation notice to be published 8/10/21. Policies removed from website.	Complete	8/10/2021
Director Infrastructure	OCM	C2110-4	SOUTHERN METROPOLITAN REGIONAL COUNCIL – WITHDRAWAL ARRANGEMENTS FOR PROJECT PARTICIPANT CITY OF KWINANA	Participant approvals forwarded to SMRC.	Complete	23/12/2021
Manager Facilities and Environmental Management	OCM	C2110-5	TENDER FCC572/21 – PLUMBING SERVICES	Contract awarded.	Complete	18/10/2021
Manager Parks and Landscapes	OCM	C2110-6	TENDER FCC585/21 - VERGE MOWING	Contract awarded.	Complete	1/11/2021
Manager Infrastructure Engineering	OCM	C2110-7	TENDER WFC80/21 – ROAD PAVEMENT MICROSURFACING SERVICES	Letter of award issued to Collas	Complete	18/10/2021
Manager Infrastructure Engineering	OCM	C2110-8	TENDER WFC81/21 – SUPPLY DRAINAGE MAINTENANCECOMBINATION SUCKER AND JETTER TRUCK SERVICES	Letter of award issued to Drain Flow Services	Complete	18/10/2021
Manager Governance	OCM	C2110-1	ELECTION OF DEPUTY MAYOR	Cr Frank Moffin elected as Deputy Mayor.	Complete	19/10/2021
Manager Governance	OCM	C2110-9	APPOINTMENT OF MEMBERS TO COMMITTEES AND GROUPS	Council: Committees and Groups Register for 2021-23 uploaded onto the City's official website and intranet.	Complete	4/11/2021
Manager Facilities and Environmental Management	OCM	C2110-10	TENDER FCC567/21 - CLEANING SERVICES WALYALUP CIVIC CENTRE	Contract awarded.	Complete	2/11/2021
Manager Finance	OCM	C2110-11	MONTHLY FINANCIAL REPORT - SEPTEMBER 2021	Budget amendments updated in the system	Complete	28/10/2021
Director City Business	OCM	C2110-14	PERTH GLORY FOOTBALL CLUB LICENSE - 70 PARRY STREET, FREMANTLE	Licence has been executed.	Complete	24/12/2021
Manager Facilities and Environmental Management	FPOL	FPOL2111-1	WALGA ENERGY SUSTAINABILITY AND RENEWABLES PROJECT	Contract for contestable energy through the Walga purchase agreement is now agreed, commencing 1/7/22	Complete	30/11/2021
Manager Parks and Landscapes	FPOL	FPOL2111-5	TENDER FCC586/21 CHEMICAL FREE WEED CONTROL	Contract awarded.	Complete	18/11/2021
Manager Finance	OCM	FPOL2111-6	BUDGET AMENDMENTS - OCTOBER 2021	Updated in the system (Tech1)	Complete	30/11/2021
Manager Community Development	OCM	FPOL2111-7	VENUE SUPPORT – ON MY FEET SUBSIDY REQUEST	Venue support subsidy endorsed by Council 24 November 2021	Complete	25/11/2021
Manager Community Development	OCM	FPOL2111-8	ADOPTION HOMELESSNESS ACTION PLAN 2021-2023	Homelessness Action Plan 2021-2023 endorsed by Council 24 November 2021.	Complete	25/11/2021
Manager Community Development	OCM	FPOL2111-9	VOLUNTARY GOODWILL SERVICE PROVIDER POLICY	Policy published on the City's website as adopted.	Complete	6/01/2022
Manager Governance	OCM	FPOL2111-10	ORGANISATIONAL COUNCIL POLICY REVIEW – COMMUNITY DEVELOPMENT AND ECONOMIC DEVELOPMENT AND MARKETING	Deleted policies removed from the City's website. Remaining policies updated and published on the City's website, as adopted.	Complete	3/12/2021
Manager Community Development	OCM	FPOL2111-11	ADOPTION OF ACCESS AND INCLUSION PLAN 2021-2025	Access and Inclusion Plan 2021-2025 endorsed by Council 24 November 2021.	Complete	25/11/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Development Approvals	OCM	C2111-2	APPOINTMENT OF MEMBERS TO THE METRO INNER-SOUTH JOINT DEVELOPMENT ASSESSMENT PANEL	Completed nomination form provided to Joint Development Assessment Panel	Complete	25/11/2021

Motions where no action was required in the reporting period
1 July 2021 to 30 November 2021
The motions included in this section are from those reports that were provided to Council for information only.

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update Provide a brief update on the actions that are to be taken/or actions that have been undertaken.	Status	Completion date
Manager Development Approvals	PC	PC2107-5	INFORMATION REPORT – JULY 2021 1. SCHEDULE OF APPLICATIONS DETERMINED UNDER DELEGATED AUTHORITY 2. UPDATE ON METRO INNER-SOUTH JDAP DETERMINATIONS AND RELEVANT STATE ADMINISTRATIVE TRIBUNAL APPLICATIONS FOR REVIEW	For information only – no action required	Complete	8/07/2021
Manager Finance	OCM	C2107-2	MONTHLY FINANCIAL REPORT - JUNE 2021	For information only – no action required	Complete	29/07/2021
Manager Finance	OCM	C2107-3	STATEMENT OF INVESTMENTS – JUNE 2021	For information only – no action required	Complete	29/07/2021
Manager Finance	OCM	C2107-4	SCHEDULE OF PAYMENTS JUNE 2021	For information only – no action required	Complete	29/07/2021
Manager Development Approvals	PC	PC2108-4	INFORMATION REPORT – AUGUST 2021 1. SCHEDULE OF APPLICATIONS DETERMINED UNDER DELEGATED AUTHORITY 2. UPDATE ON METRO INNER-SOUTH JDAP DETERMINATIONS AND RELEVANT STATE ADMINISTRATIVE TRIBUNAL APPLICATIONS FOR REVIEW	For information only – no action required	Complete	5/08/2021
Manager Economic Development and Marketing	FPOL	FPOL2108-1	CORPORATE BUSINESS PLAN – PROGRESS REPORT 2020/21	For information only – no action required	Complete	12/08/2021
Manager Finance	OCM	ARMC2108-2	PURCHASING POLICY EXEMPTIONS JUNE 2021	For information only – no action required	Complete	26/08/2021
Manager Finance	OCM	ARMC2108-4	TENDERS AWARDED UNDER DELEGATION JUNE 2021	For information only – no action required	Complete	26/08/2021
Manager Governance	OCM	ARMC2108-5	INFORMATION REPORT – AUGUST 2021 REPORT ON ELECTED MEMBER TRAINING FROM 1 JULY 2020 UNTIL 30 JUNE 2021 STATUS REPORT OF COUNCIL MOTIONS – 1 MARCH 2021 TO 30 JUNE 2021 STATUS REPORT OF AUDIT ACTIONS TO 30 JUNE 2021	For information only – no action required	Complete	26/08/2021
Director Infrastructure	OCM	AMRC2108-1	WALYALUP CIVIC CENTRE – PROJECT UPDATE REPORT	For information only – no action required	Complete	26/08/2021
Manager Finance	OCM	ARMC2108-3	OVERDUE DEBTORS REPORT AS AT 30 JUNE 2021	For information only – no action required	Complete	26/08/2021
Manager Finance	OCM	C2108-2	SCHEDULE OF PAYMENTS JULY 2021	For information only – no action required	Complete	26/08/2021
Manager Finance	OCM	C2108-3	STATEMENT OF INVESTMENTS – JULY 2021	For information only – no action required	Complete	26/08/2021
Manager Finance	OCM	C2108-1	MONTHLY FINANCIAL REPORT - JULY 2021	For information only – no action required	Complete	26/08/2021
Manager Field Services	OCM	ARMC2108-6	18 STRANG STREET, BEACONSFIELD – PLANNING AND BUILDING COMPLIANCE MATTERS	For information only – no action required	Complete	26/08/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update Provide a brief update on the actions that are to be taken/or actions that have been undertaken.	Status	Completion date
Director City Business	OCM	ARMC2108-7	EMERGING ISSUES REPORT - AUGUST 2021	For information only – no action required	Complete	26/08/2021
Manager Development Approvals	PC	PC2109-4	INFORMATION REPORT – SEPTEMBER 2021 1. SCHEDULE OF APPLICATIONS DETERMINED UNDER DELEGATED AUTHORITY 2. UPDATE ON METRO INNER-SOUTH JDAP DETERMINATIONS AND RELEVANT STATE ADMINISTRATIVE TRIBUNAL APPLICATIONS FOR REVIEW	For information only - no action required	Complete	2/09/2021
Director of Strategic Planning and Projects	FPOL	FPOL2109-3	INFORMATION REPORT – SEPTEMBER 2021 - DRAFT STATE INFRASTRUCTURE STRATEGY - SUBMISSION	For information only - no action required	Complete	9/09/2021
Manager Community Development	FPOL	FPOL2109-7	WALYALUP RECONCILIATION ACTION PLAN 2019-2022 – ANNUAL PROGRESS REPORT 2020-2021	For information only - no action required	Complete	9/09/2021
Manager Economic Development and Marketing	FPOL	FPOL2109-2	CORPORATE BUSINESS PLAN REPORT 2021/22	For information only – no action required	Complete	23/09/2021
Manager Finance	OCM	C2109-3	MONTHLY FINANCIAL REPORT - AUGUST 2021	For information only – no action required	Complete	23/09/2021
Manager Finance	OCM	C2109-4	STATEMENT OF INVESTMENTS – AUGUST 2021	For information only – no action required	Complete	23/09/2021
Manager Finance	OCM	C2109-5	SCHEDULE OF PAYMENTS AUGUST 2021	For information only – no action required	Complete	23/09/2021
Manager Development Approvals	PC	PC2110-5	INFORMATION REPORT - 6 OCTOBER 2021 1. SCHEDULE OF APPLICATIONS DETERMINED UNDER DELEGATED AUTHORITY 2. UPDATE ON METRO INNER-SOUTH JDAP DETERMINATIONS AND RELEVANT STATE ADMINISTRATIVE TRIBUNAL APPLICATIONS FOR REVIEW	For information only – no action required	Complete	7/10/2021
Manager Community Development	OCM	C2110-1	AGE FRIENDLY CITY PLAN 2019-24 – ANNUAL PROGRESS REPORT 2020-21	For information only - no action required	Complete	14/10/2021
Manager Customer Experience and Learning	OCM	C2110-2	FREMANTLE LIBRARY BI-ANNUAL REPORT APRIL TO SEPT 2021	For information only - no action required	Complete	14/10/2021
Manager Finance	OCM	C2110-12	STATEMENT OF INVESTMENTS – SEPTEMBER 2021	For information only - no action required	Complete	28/10/2021
Manager Finance	OCM	C2110-13	SCHEDULE OF PAYMENTS SEPTEMBER 2021	For information only - no action required	Complete	28/10/2021
Manager Development Approvals	PC	PC2110-7	INFORMATION REPORT - 3 NOVEMBER 2021 1. SCHEDULE OF APPLICATIONS DETERMINED UNDER DELEGATED AUTHORITY 2. UPDATE ON METRO INNER-SOUTH JDAP DETERMINATIONS AND RELEVANT STATE ADMINISTRATIVE TRIBUNAL APPLICATIONS FOR REVIEW	For information only - no action required	Complete	4/11/2021
Manager Economic Development and Marketing	FPOL	FPOL2111-3	CORPORATE BUSINESS PLAN – QUARTERLY REPORT – JULY TO SEPTEMBER 2021	For information only - no action required	Complete	25/11/2021
Director Infrastructure	OCM	ARMC2111-3	WALYALUP CIVIC CENTRE – PROJECT UPDATE	For information only - no action required	Complete	25/11/2021
Manager Asset Management	OCM	ARMC2111-4	PURCHASING POLICY EXEMPTIONS OCTOBER 2021	For information only - no action required	Complete	25/11/2021

Responsible Officer	Final decision maker	Item No	Title of Item	Officer update <i>Provide a brief update on the actions that are to be taken/or actions that have been undertaken.</i>	Status	Completion date
Manager Asset Management	OCM	ARMC2111-6	TENDERS AWARDED UNDER DELEGATION OCTOBER 2021	For information only - no action required	Complete	25/11/2021
Manager Finance	OCM	C2111-3	MONTHLY FINANCIAL REPORT - OCTOBER 2021	For information only - no action required	Complete	25/11/2021
Manager Finance	OCM	C2111-4	STATEMENT OF INVESTMENTS – OCTOBER 2021	For information only - no action required	Complete	25/11/2021
Manager Finance	OCM	C2111-5	SCHEDULE OF PAYMENTS OCTOBER 2021	For information only - no action required	Complete	25/11/2021
Director City Business	OCM	ARMC2111-7	EMERGING ISSUES REPORT - NOVEMBER 2021	For information only - no action required	Complete	25/11/2021

STATUS REPORT OF AUDIT ACTIONS TO 30 NOVEMBER 2021

ATTACHMENT 1 - Audit actions progress report to 30 November 2021

Systems and Procedures Review - Internal Control
(Commenced September 2019)

Audit area	Responsible Officer	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated Completion Date	Amended Estimated Completion Dates	Status	Actual Completion Date
Recording the use of delegations	Manager Governance	Conduct an internal review to ensure the use of delegations is being correctly recorded. Include the following in all delegations: - instructions of the required recording process (as per the Act and associated regulations); - the location for recording the use of the delegation.	Agreed, training for delegated officers is being considered for development and following its implementation, an internal review on how different areas are capturing the use of delegation will be undertaken. 12/07/2021 - Training still under development.	A training package for delegated officers is currently being developed. On hold due to staffing availability issues. 13/05/21 – training is being developed pending roll out following adoption of the RoDA review anticipated at May OCM. Training has been included in the Governance Induction of new staff and was rolled out in October.	Training has been included in the Governance Induction of new staff and was rolled out in October.	31/1/2021	01/11/2021	Complete	31/10/2021
Risk assessments	Manager Asset Management	Implement processes to reinforce awareness of risk management procedures with relevant employees. Ensure all teams are managing risk in a manner which is consistent with the risk management policy and risk management framework.	We will work with Management Team to identify employees who require knowledge of Risk Policy and Procedure. We will implement workshops to improve awareness and understanding of the Framework and Policy	A risk management group has commenced meeting to determine the best way of implementing the risk assessment process in the City. Remains ongoing No further update at 31 July 21	No further update	30/6/2021		Ongoing	
Risk management training	Manager Asset Management	Review the risk assessment training programme to ensure all employees are aware of risk management processes. Include risk management training as part of the induction process where appropriate.	Will review and advise Management Team on best way to implement this.	Remains ongoing .This item is still being considered by the Risk Management Group No further update at 30 March 2021 Remains ongoing at present.	No further update	30/6/2021		Ongoing	
Review of council and administration Policies	Manager Governance	Introduce a periodic City-wide policy review to: - minimise the risk of policies becoming outdated; - ensure consistency of formatting between policies; and - promote culture where employees bring all proposed policy amendments to the attention of council.	The Governance Team, are planning a city-wide review of policy to be undertaken within the next 12 – 18 months.	The policy review has commenced, and is currently in the first stage. Initial meetings with managers have been completed and the manager responsibility for each of the policies has been re-allocated where required. The governance team have grouped the policies into business unit, and the next stage is to review each group of policies, one business unit at a time. Council has reviewed: August: strategic planning, governance, and people and culture policies. September: communications and events, customer experience and learning, information technology and arts and culture November: community development and economic development and marketing	Council has reviewed: August: strategic planning, governance, and people and culture policies. September: communications and events, customer experience and learning, information technology and arts and culture November: community development and economic development and marketing	1/10/2021	31/03/2022	Ongoing	
Checking employee qualifications	Manager People and Culture	Monitor the new system, once in place, to ensure that electronic reminders for licence expiry dates are properly implemented.	This is a feature of the new HRIS system. This will be monitored once in place.	The new HRIS is in testing phase and is yet to be finalised – expecting this to be early in 2021. There has been delays in the HRIS implementation due to contractor issues so more likely to be later in 2021. HRIS implementation delayed 6-8 months (live Aug 2021)	HRIS implementation delayed 6-8 months (live Aug 2021)	31/3/2021	30/06/2021 31/07/2021 30/06/2022	Ongoing	

Systems and Procedures Review - Risk Management
(Commenced September 2020)

Audit area	Responsible Officer	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated Completion Date	Amended Estimated Completion Dates	Status	Actual Completion Date
Identifying and minimising misconduct, fraud and theft	Manager Asset Management	Civic Legal understands the City intends to introduce 'mini audits' to address specific or localised topics. Ensure misconduct, fraud and theft are addressed in these 'mini audits'. Provide training sessions on misconduct, fraud and theft to relevant employees on an annual basis. These sessions could include the relevant sections of the Code of Conduct, the Grievance Policy and making a report to the CCC or Public Information Commissioner. Review the Use of Corporate and Purchasing Cards Procedure. If not done already, finalise and adopt the Transaction Card Policy and Procedure. Ensure the adoption date (and review dates) is recorded on the document.	Transaction Card Policy and Procedure with ELT for adoption / discussion. Fraud and misconduct is covered in a number of policies and procedures organisation wide. Further reminders and training is required in this area. Estimated completion – 31/12/2020	Transaction Card Procedure and Policy adopted by ELT in November 20. Fraud and Misconduct Training under review – estimated completion 30 June 2021 Training slides issued to Director City Business and Manager Finance for review and comment early March 2021. No feedback or guidance received despite multiple requests. Remains ongoing at present.	No further update	31/12/2020	30/06/2021 31/12/2021	Ongoing	
Contract management	Manager Asset Management	Consider adopting a Contract Management Plan template document to assist employees who are managing contracts. This should include formalising the contract inspection process to ensure contractual terms are being performed, and KPI review meetings. Consider offering specific training to relevant employees undertaking contract performance/assessment reviews.	A Contract Management Plan template is under development to be available alongside the recently adopted Contract Procedures. Estimated completion - 31/12/2020	Contract Management Plan under review – draft issued in November 20 with review taking place early Jan 21. Contract Procedures adopted August 20 and available on CoFi. Training with relevant users under way since mid-December 20. Estimated completion June 21 Remains ongoing at present.	No further update	31/12/2020	30/06/2021 31/12/2021	Ongoing	
Risk reporting	Manager Asset Management	Ensure managers receive risk management training (including risk reporting) as a part of their regular training regime. Conduct basic risk reporting training for relevant officers. Maintain employee awareness of the risk reporting process through regular reminders at team meetings.	Training with Managers and ELT took place in August 2020 to further clarify and understand the risk process and responsibilities. City aims to roll out basic training across all levels in early 2021.	Training for remaining employees under review by Risk Management Group Remains ongoing No further update at 30 March 2021 Remains ongoing at present.	No further update	30/6/2021		Ongoing	
Councillor risk management training	Manager Asset Management	Include training for 'understanding risk' in a Councillor Training Policy.	Risk management is being assessed in a broader context for the City and councillor training will be implemented as part of that process	An initial Risk Management workshop occurred in June for Elected Members. A second workshop is being planned. Ongoing consideration of training will also be reviewed.	No further update	31/3/2021		Ongoing	
Communicating risk to stakeholders	Manager Communications and Events	Complete and implement a Risk Management Policy that encompasses communicating risk to stakeholders for all events and functions.	Events Teams working on this.	Remains ongoing No further update at 30 March 2021 Remains ongoing at present.	No update provided	30/6/2021		Ongoing	

Audit area	Responsible Officer	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated Completion Date	Amended Estimated Completion Dates	Status	Actual Completion Date
Role descriptions	Manager People and Culture	Specify risk management requirements in manager/ supervisor role descriptions, and others where warranted.	Agreed where applicable. Estimated completion – 31/12/2020	<p>This action has been delayed.</p> <p>All position descriptions being reviewed as vacancies arise.</p> <p>Standard wording for manager/supervisor role descriptions has been agreed.</p> <p>Estimated completion - March 2021.</p> <p>Recent turnover of P&C admin staff expected to delay completion to April 2021</p> <p>All new PD's include specific risk management and OHS requirements. Specific project now underway to update 300+ existing PD's. Anticiapted this will take a further 2-3 months (by September 2021)</p> <p>All new PD's include specific risk management and OHS requirements. Specific project now underway to update 300+ existing PD's. PD's issued or updated since March 2021 include specific OSH reference. Clearing backlog of old and outdated PD's scheduled for this financial year.</p>	All new PD's include specific risk management and OHS requirements. Specific project now underway to update 300+ existing PD's. PD's issued or updated since March 2021 include specific OSH reference. Clearing backlog of old and outdated PD's scheduled for this financial year.	31/12/2020	30/04/2021 30/09/2021 30/06/2022	Ongoing	
Business Continuity Plan	Director City Business	<p>Set a calendar reminder to trigger an annual review of the Business Continuity Plan, the Business Incident Management Plan and the Business Impact Analysis. Ensure all personnel mentioned in the documents are up to date during the annual review.</p> <p>Identify in the Business Continuity Plan who is responsible for the document.</p> <p>Ensure the City completes formal handovers of key documents during team restructures.</p> <p>Include the adoption/approval and review dates in the Disaster Recovery Plan (Appendix to the Record Keeping Plan).</p>	<p>The BCP will be included in the Risk function of the organisation. The City is currently reviewing how risk will be managed and structured in the organisation.</p> <p>The current plan is to implement a new Risk approach within the organisation structure in January 2021.</p> <p>Estimated completion – 31/1/2021</p>	<p>Development of risk framework is currently underway, with most recent progress being the delivery of consultation of proposed approach with elected members. This was carried out Monday 20 July. Executive is continuing to develop framework based on feedback from elected members.</p> <p>Executive is now considering the most appropriate resourcing in order to adequately implement and manage the framework.</p>	Executive is now considering the most appropriate resourcing in order to adequately implement and manage the framework.	31/1/2021	31/12/2021 30/06/2022	Ongoing	
Information technology (IT) security protocols	Manager Information Technology	<p>Introduce a checklist or compliance calendar to assist the IT Team (and future team members) in ensuring all IT security protocols are undertaken at the correct times.</p> <p>Ensure the Information Security Risk Management Plan is reviewed annually.</p>	<p>The City's IT team will review the introduction of a compliance calendar.</p> <p>The Information Security Risk Management Plan is currently being reviewed and updated. Completion scheduled for November 2020.</p> <p>Estimated completion – 30/11/2020</p>	<p>Professional services have been engaged to assist the City with the creation of these documents.</p> <p>The engagement started in October 2021 and is expected to be completed by January 2022.</p> <p>The Information Security Risk Management Plan is currently being reviewed and updated. Completion scheduled for January 2022.</p>	Professional services have been engaged to assist the City with the creation of these documents.	30/11/2020	31/03/2021 31/05/2021 30/09/2021 31/03/2022	Ongoing	
IT security policy and standards	Manager Information Technology	Develop an IT Security Policy (and accompanying procedural documents) to capture relevant IT security practices.	<p>The City's IT team are currently working to develop an IT Security policy as part of a project to review all Cybersecurity and Disaster Recovery documentation. To be completed within the 20/21 FY.</p> <p>Estimated completion – 30/6/2021</p>	<p>Professional services have been engaged to assist the City with the creation of these documents.</p> <p>The engagement started in October 2021 and is expected to be completed by January 2022.</p>	Professional services have been engaged to assist the City with the creation of these documents.	30/6/2021	30/09/2021 31/03/2022	Ongoing	

Audit area	Responsible Officer	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated Completion Date	Amended Estimated Completion Dates	Status	Actual Completion Date
IT Disaster Recovery Plan	Manager Information Technology	Ensure the IT Disaster Recovery Plan is reviewed annually. Consider cross referencing the IT Disaster Recovery Plan and the Business Continuity Plan.	The City's IT team are currently reviewing the IT DRP as part of a project to review all Cybersecurity and Disaster Recovery documentation. To be completed within the 20/21 FY. Estimated completion – 30/6/2021	Professional services have been engaged to assist the City with the creation of these documents. The engagement started in October 2021 and is expected to be completed by January 2022.	Professional services have been engaged to assist the City with the creation of these documents. The engagement started in October 2021 and is expected to be completed by January 2022.	30/6/2021	30/09/2021 31/03/2022	Ongoing	
Communicating IT changes to employees	Manager Information Technology	Ensure there is a formal procedure in place to guide employees on the method of considering and safely introducing new software.	The City's IT Team will review its existing change procedure for selecting and implementing new software.	The City has engaged a third party to assist with the creation of the required Policies around Disaster Recovery and Cybersecurity and other IT Policy requirements. This engagement was finalised in June 21 and is expected to require 3 months for completion. New estimated completion date is September 2021 Professional services have been engaged to assist the City with the creation of these documents. The engagement started in October 2021 and is expected to be completed by February 2022.	Professional services have been engaged to assist the City with the creation of these documents. The engagement started in October 2021 and is expected to be completed by February 2022.	30/9/2021	31/3/2022	Ongoing	
COVID-19 management	Manager Strategic Planning	Continue regular monitoring of introduced COVID-19 protocols until community safety can be confirmed (e.g. global inoculation of vaccine).	City requirements for City-organised meetings communicated by responsible officer. Public Health Emergency Operation Centre (PHEOC) Bulletins monitored & circulated to: •all Health Officers, •Executive Leadership, •Management Team •Events Coordinator, •Leisure Centre Manager, •Facilities Manager, •Senior People & Culture Project Officer (Workforce Services)	Safe WA registration protocol and infrastructure rolled out 2/12/20. Venue restrictions & management maintained as per Guidelines. Covid Event Plans requested where required. Internal etiquette reminders periodically circulated. Vaccination program commenced in Australia February 2021. Western Australia vaccination rates as at 4 January 2022 – 84.7% of population aged 12+ double dose vaccinated. Third dose (booster) vaccines available in 4 months from date of second vaccination from 4 January 2022. Pfizer vaccine to be made available to 5-11 year-olds from 10 January 2022. City employees required to provide proof of vaccination status and to be vaccinated in compliance with State Government mandatory vaccination directions and timelines for employees in the occupations identified in the government directions.	Vaccination program commenced in Australia February 2021. Western Australia vaccination rates as at 4 January 2022 – 84.7% of population aged 12+ double dose vaccinated. Third dose (booster) vaccines available in 4 months from date of second vaccination from 4 January 2022. Pfizer vaccine to be made available to 5-11 year-olds from 10 January 2022. City employees required to provide proof of vaccination status and to be vaccinated in compliance with State Government mandatory vaccination directions and timelines for employees in the occupations identified in the government directions.	Unknown		Ongoing	

**Regulation of Consumer Food Safety by Local Government Entities
(Commenced June 2020)**

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Consumer Food Safety	Manager Field Services	NA	Local government entities should: - work with the Department of Health in the development and implementation of new electronic food safety inspection and recordkeeping systems.	Local government entities in our sample generally accepted the recommendations and confirmed that, where relevant, they will improve inspection and enforcement practices, recordkeeping and compliance reporting for regulating food businesses.	8/07/21 – clarifications to the requirements of the system have delayed the estimated completion date to June 2022..	No further update	31/12/2021	30/06/2022	Ongoing	

**Financial Management Review
(Commenced May 2020)**

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Procurement (contract management)	Manager Asset Management	Medium	<ul style="list-style-type: none"> the City, as a matter of priority, endorse the draft contract management policies and ensure that all appointed contract managers fully understand their contract manager responsibly. To assist compliance that the City develop a formal quality assurance checklist which should be signed off by the contract manager's supervisor/Director as evidence that a contract prior to ending has been contract managed and post contract supplier performance evaluations have been conducted and recorded. 	<p>Draft contract management policies, procedures, forms and checklists have been submitted to Management for approval before implementation.</p> <p>Once endorsed by the Director training will be conducted across the organisation for relevant officers. It is anticipated to be finalised by September 2020. Training will include supplier evaluation measured against the KPI's within contracts. All policies and procedures will be made available to the organisation through CoFI.</p>	<p>Procedures and Forms endorsed in August 2020 and distributed internally. Training to commence November 2020.</p> <p>Contract Procedures adopted August 20 and available on CoFI.</p> <p>Training with relevant users under way since mid-December 20. Estimated completion June 21</p> <p>No further update at 30 March 2021</p> <p>Remains ongoing at present</p>	No further update	30/06/2021	31/12/2021	Ongoing	
Accounts Payable/Procurement (Purchase Orders)	Manager Finance	Medium	<ul style="list-style-type: none"> the City clarify its policy and guidelines in regards to the proper use and approval of purchase orders to ensure that all purchase orders are initiated and approved at the date a supplier quote is accepted and/or a supplier contract for the supply of goods and services is enacted. A copy of the approved purchase order should be issued to the supplier at the date of accepting their quote clearly stating that the supplier is required to state the purchase order number on their invoices. 	<p>In an attempt to reduce the instances of purchase orders being raised after the receipt of invoices the following actions have been initiated over the last couple of years:</p> <ul style="list-style-type: none"> Training across the organisation is conducted with purchasing officers to remind them of the need to ensure purchase orders are raised prior to the time of authorising works/services or ordering goods. All invoices received without quoting a valid purchase order are returned to the supplier unpaid. This requirement was advised to all suppliers in writing in November 2018. From this review one-on-one training will be conducted with officers who raised the 8 purchase orders identified. <p>Refresher training and update on the policy and procedures for purchase orders will be distributed to the organisation.</p>	<p>A training programme has been discussed whilst further evidence of the number of transgressions and incidents has been acquired. A report has been submitted to ELT to inform them of the size of the issue. The 8 identified have been spoken to about the process.</p> <p>Reporting and training has continued. The number of purchase orders created after receiving the invoice has reduced by 30%. Further work still required.</p>	No update provided.	31/12/2021		Ongoing	
Asset management (Asset Capital Thresholds)	Manager Finance	Low	The asset capitalised threshold guidelines be updated to reflect new asset capitalisation threshold levels.	Since the change asset capitalisation has been in accordance with the revised Financial Management Regulations. The asset capitalised threshold guidelines will be updated to reflect this change in legislation and internal process.	<p>On-going review</p> <p>Complete - Asset capitalisation threshold of greater than \$5,000 was undertaken in 2019-20 financial year in accordance with revised Financial Management Regulations.</p> <p>Ongoing – Asset capitalisation threshold guidelines to be updated to reflect this change in legislation and internal process.</p> <p>DRAFT policy pending review</p>	DRAFT policy pending review	31/03/2021	30/06/2021 30/11/2021 31/03/2022	Ongoing	
Revenue (Cash Receipting and Handling)	Manager Finance	Low	<ul style="list-style-type: none"> the City review the existing procedure documents for the administration and each out centre and establish a more detailed and comprehensive cash receipting and handling processes incorporating. Supervisor sign off of the daily reconciliation; Investigation and approval of cash variances; Supervisor signoff and approval process for cash refunds and POS adjustments Threat of theft - staff safety instructions 	Management agree with the recommendation and have taken steps to implement a standard cash handling process across all business units. This would be an improvement to current practice and would ensure consistency across the organisation.	<p>Actions are ongoing.</p> <p>Cash handling procedures in draft format. Initial meetings have occurred to recognise resourcing requirements necessary in order to meet recommended standard of practice. Workshops scheduled to occur in April 2021 and be fully operational in July 2021</p> <p>Due to internal resourcing and external audit with OAG, unable to progress with this project. Anticipate that this will be progressed once key personnel recruited.</p>	Due to internal resourcing and external audit with OAG, unable to progress with this project. Anticipate that this will be progressed once key personnel recruited.	30/06/2021	31/10/2021 28/02/2022	Ongoing	

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Bonds and Trusts Accounts (Bond Account Reconciliation)	Manager Finance	Low	The City ensure that bond account reconciliations are undertaken consistently on a monthly basis and that the City investigate why it has not yet transferred the additional \$35,824 of unrefunded bonds which have been outstanding for over 10 years to the Municipal account.	<p>The City performs monthly reconciliations of all bond and trust fund accounts.</p> <p>During 2019-20 a considerable amount of bonds that were held for over 10 years were identified as eligible for transfer to the City's Municipal account. This was actioned on 3 March 2020 with all bonds up greater than 10 years as at 31 January 2020 being transferred to Municipal account.</p> <p>It is intended that all bonds from 1 February to 30 June 2020 will be actioned this financial year with a further transfer to be processed to the Municipal account in the amount of \$35,824.</p> <p>Further during next financial year finance will investigate and liaise with business units to work on a process to ensure bonds are returned in a timely manner and ensure that bonds held are current.</p>	<p>Actions are ongoing.</p> <p>Complete - Unrefunded bonds in the amount of \$35,824 which have been outstanding for over 10 years were transferred to the Municipal Fund as at 30 June 2020.</p> <p>Ongoing - Finance will investigate and liaise with business units to work on a process to ensure bonds are returned in a timely manner and ensure that bonds held are current.</p> <p>EFT project being undertaken to enable all refunds to be processed via EFT. Staged project that will reduce processing time and result in timely payments</p> <p>UAT being undertaken, issues identified are being reviewed for a resolution.</p> <p>Reconciliations of bonds held undertaken on a monthly basis. Bonds held for more than 10 years to be transferred to Muni in January 2022.</p>		30/06/2021	31/03/2022	Ongoing	

Interim Audit - Finance
(Year ending 30 June 2020)

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Supplier master files	Manager Finance	Significant	Management should ensure changes made to the vendor Masterfile are appropriately reviewed and approved by an independent officer, including retaining evidence of this process. System access privileges to the master file should be reviewed to ensure that only appropriate, approved staff have access. The City should also perform periodical reviews to remove/deactivate duplicated supplier records.	The City has a procedure in place since November 2017 in relation to changing supplier bank account details to ensure proper controls and segregation of duties. In addition, the Procurement Team Leader runs and checks a report of all supplier bank account changes that have been made in the system before approving each payment run. Based on these audit findings a refresher of the procedure will be undertaken with the Procurement Officers. The refresher will include revisiting the documentation required and completing checks section of the form for audit trail purposes. A further action will be added to this procedure to undertake an internal audit function. This will be a random check of supplier change of bank account forms and documentation to ensure compliance with the procedure. The City will undertake a review of officers having access to change supplier master files details and update security settings as required. A review of duplicate supplier records was undertaken in July 2019 where it was noted that some suppliers have more than one record due to different address or payment methods. To ensure this remains current this task will be added to the end of financial year procedure and checklist to be completed on an annual basis.	Audit of change of bank accounts in place. Procurement Team Leader reviews changes made before releasing payment run. Procedure updated. Review of Officers having ability to amend Supplier Master File, completed. With regard some suppliers having more than one record due to different address or payment methods. This task has been added to the end of financial year procedure and checklist to be reviewed and completed on an annual basis. No further update at 30 March 2021 No further update at 31 July 2021 No further update at 21 September 2021	No update provided.	31/3/2021	31/12/2021	Ongoing	
Purchase card acquittals	Manager Finance	Moderate	Management should review their purchasing card policy to ensure that it reflects the current processes.	The purchasing card policy has been reviewed and a supporting procedure has been developed to reflect the current processes. These are awaiting Executive approval. Once adopted a session will be held with all users to inform them of their obligations and reporting requirements.	Transaction Card Procedure and Policy adopted by ELT in November 20. Training with users of cards pencilled in for February 21 Training changed to May 21 Remains ongoing at present.	No update provided.	31/03/2021	31/12/2021	Ongoing	
Cancellation of purchase cards	Manager Finance	Moderate	Management should review their policy regarding the cancellation of cards due to lost cards and terminated employees. There should be regular communication between payroll and finance to ensure purchases cards are retrieved and cancelled on or before termination.	The current purchase card policy requires the cancellation of cards in a timely manner when an employee terminates employment with the City. The purchasing card policy has been reviewed and a supporting procedure has been developed to strengthen the process of card cancellation due to lost cards and terminated employees. These are awaiting Executive approval. Once adopted a session will be held with all users to inform them of their obligations and reporting requirements.	Transaction Card Procedure and Policy adopted by ELT in November 20. Training with users of cards pencilled in for February 21 Training changed to May 21 Remains ongoing at present.	No update provided.	31/03/2021	31/12/2021	Ongoing	
Asset stocktake procedures	Manager Finance	Moderate	Management should ensure that periodic stocktakes are carried out to confirm the existence of assets and adequate policies and procedures are in place.	A complete physical stocktake of all furniture, art, plant and equipment assets across the organisation (both financial assets and minor assets) is planned to be undertaken in conjunction with the asset revaluation in the 2020-21 financial year. Currently there are some asset physical checks undertaken within business units such as at the Arts Centre on the City's Art Collection and at the Works Depot for various items of plant and equipment. It is acknowledged these are sporadic and that an organisational documented procedure does not exist. The City will develop new process and procedure to put more rigour and consistency across organisation on the control of financial assets and minor assets.	Ongoing Asset audit for Art Collection, Plant and Equipment and Furniture and Equipment is currently in progress. Draft report received in relation to Art Collection under review for completeness. Delayed due to resignations & resourcing issues Report received, in discussion with the OAG in relation to the update of assets and the value at which they may be recorded. Independent accounting advice sought to assist with this. Asset Audit schedule to be prepared for all types of asset.	Report received, in discussion with the OAG in relation to the update of assets and the value at which they may be recorded. Independent accounting advice sought to assist with this. Asset Audit schedule to be prepared for all types of asset.	30/06/2021	30/09/2021 31/12/2021 31/03/2022	Ongoing	

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Fixed asset reconciliation	Manager Finance	Moderate	Management should perform a monthly reconciliation between the fixed assets register and the general ledger and ensure it is prepared and independently reviewed in a timely manner.	Currently a formal monthly reconciliation between the fixed asset register and the general ledger is in existence at the City. Processing of monthly capitalisation of assets for the new financial year hadn't commenced at the time of the interim audit therefore no reconciliations were required. The processing for the new year was held off until finalisation of year ending 30 June 2019 to ensure the transactions posted in the new year are based on the final audited asset register balances. This practice will be reviewed to determine possible end of year and start of new year improvements.	<p>Ongoing</p> <p>Complete - Monthly reconciliations between asset register and the general ledger are performed.</p> <p>Ongoing – Process for audit trail as evidence of independent review.</p> <p>Ongoing – to be reviewed pending the outcome of the asset conversation with the OAG</p> <p>Ongoing – unable to reconcile system assets on a monthly basis until final sign off received from independent auditor (OAG) – yet to receive</p>	<p>Ongoing – to be reviewed pending the outcome of the asset conversation with the OAG</p> <p>Ongoing – unable to reconcile system assets on a monthly basis until final sign off received from independent auditor (OAG) – yet to receive</p>	30/09/2020	30/06/2021 28/02/2022	Ongoing	
Daily banking summary	Manager Finance	Minor	The City should ensure that the daily banking summary sheets are reviewed and evidence of this should be retained.	Management have taken steps to implement a standard cash handling process across all business units. This would be an improvement to current practice and would ensure consistency across the organisation. Once endorsed by Executive training of the revised process will be conducted with relevant officers.	<p>Cash handling procedures in draft format. Initial meetings have occurred to recognise resourcing requirements necessary in order to meet recommended standard of practice. Workshops scheduled to occur in April 2021 and be fully operational in July 2021</p> <p>Updated estimated completion - 30/06/2021</p> <p>Due to internal resourcing and external audit with OAG, unable to progress with this project. Anticipate that this will be progressed once key personnel recruited.</p>	<p>Due to internal resourcing and external audit with OAG, unable to progress with this project. Anticipate that this will be progressed once key personnel recruited.</p>	31/12/2020	30/06/2021 31/10/2021 28/02/2021	Ongoing	

Annual Financial Statements
(Year ending 30 June 2020)

Audit area	Responsible Officer	Risk rating (if applicable)	Auditors recommended actions	Officer response to recommended action	Progress comments	February ARMC Update	Original Estimated completion date	Amended Estimated Completion Date	Status	Actual completion date
Purchase card transactions	Manager Finance	Moderate	Management should review the purchase card monitoring process to ensure purchases above \$1,000 are appropriately approved prior to purchase in accordance with the City's policy.	A new Transaction Card Administration Policy and Procedure were adopted in December 2020. The revised policy and procedure were issued to all card holders in January 2021 with card holders providing email confirmation of having read and agreeing to comply with the Policy and Procedure. The requirement for purchases of \$1,000 and above remained in the new policy and procedure and users were reminded of the requirement to gain approval. A workshop for card users is scheduled to take place by April 2021 to run through the policy and procedure and answer any questions. New card holders will be issued with copies of the policy and procedure and talked through the requirements on an as needed basis.	Remains ongoing at present.	No update provided.	30/04/2021		Ongoing	
Review of creditor reconciliation	Manager Finance	Minor	We recommend that management ensure monthly reconciliations are appropriately reviewed in a timely manner.	Creditor reconciliations are prepared by officers and reviewed by the Team Leader on a monthly basis. The current process will be improved to incorporate an audit trail to provide evidence of the independent review.	Remains ongoing at present.	No update provided.	31/03/2021		Ongoing	
Procedures for identifying leases	Manager Finance	Moderate	The City should develop and implement appropriate procedures to identify leases under AASB 16.	The City has developed and implemented a procedure to manage the accounting treatment for AASB 16 Leases. This document was provided to the auditors during the final audit. Subsequently management became aware that AASB 16 also applied to some leased properties of the City which had not been accounted for as per the new Accounting Standard. The City rectified the treatment of the leased properties; these were disclosed correctly in the Annual Financial Statements year ended 30 June 2020. The City will continue to refine the Lease Procedure to ensure full compliance with AASB 16 Leases.	Further improvements have been implemented. Annual financial statements have been populated correctly. Will consider complete once EOY audit finalised by OAG EOY OAG audit not yet complete – estimate finalisation by EO February 2022	Further improvements have been implemented. Annual financial statements have been populated correctly. Will consider complete once EOY audit finalised by OAG EOY OAG audit not yet complete – estimate finalisation by EO February 2022	30/06/2021	30/09/2021 31/12/2021 28/02/2022	Ongoing	
Asset impairment and review of useful life	Manager Finance	Moderate	The City should implement an asset impairment and review of useful lives policy and ensure yearly reviews are conducted and supported by appropriate documentation.	An asset impairment and review of useful lives policy will be implemented to document the current process undertaken and to ensure audit trail evidence of the review is maintained as supporting documentation. Currently the City conducts inspections and audits of its assets throughout the year. Any assets that are found to be missing or damaged are reported to the Asset Management Team and if significant financially Finance are informed. This would identify any impairment of assets. The useful life of each individual asset is provided to the City by Independent Valuers with the revaluation. These are reviewed by Management before applying. A desktop review of each assets useful life compared to the depreciation rate ranges is conducted on an annual basis.	Review of remaining useful life for each asset undertaken. EOY processing underway Ongoing – review carried out. In consultation with OAG as the appropriateness of this. Further review of calculations to be undertaken by Finance & Asset Managers	Ongoing – review carried out. In consultation with OAG as the appropriateness of this. Further review of calculations to be undertaken by Finance & Asset Managers	30/06/2021	31/10/2021 31/12/2021 31/03/2022	Ongoing	
Capital works in progress	Manager Finance	Moderate	The City should develop a policy to ensure capital works projects are regularly reviewed and capitalised as and when they are completed.	As asset capitalisation policy will be implemented to document the current process undertaken and to ensure audit trail evidence of review and approval is maintained as supporting documentation. Currently assets are capitalised throughout the financial year by reviewing expenditure in each capital project on a monthly basis. Once a project is fully completed the details of the proposed asset(s) to be taken up is reviewed and approved by the Finance Manager before processing. Assets are commissioned based on the date of the last invoice received for goods or service. Due to the nature of works undertaken at the City, such as on-going building and infrastructure construction works, a large proportion of assets are taken up with a commission date of 30 June.	Remains ongoing at present. Additional disclosure to be included in the annual financial statements. In consultation with OAG through EOY audit process. EOY OAG audit not yet complete – estimate finalisation by EO February 2022 Draft policy prepared to be reviewed by Director City Business and Finance Manager prior to adoption	Additional disclosure to be included in the annual financial statements. In consultation with OAG through EOY audit process. EOY OAG audit not yet complete – estimate finalisation by EO February 2022 Draft policy prepared to be reviewed by Director City Business and Finance Manager prior to adoption	30/06/2021	30/09/2021 31/12/2021 28/02/2022	Ongoing	